CME Group

Give-Up Payment System User Manual

7/2/15

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All matters pertaining to rules and specifications herein are made subject to and are superseded by official CME, CBOT, and NYMEX rules. Current rules should be consulted in all cases concerning contract specifications.

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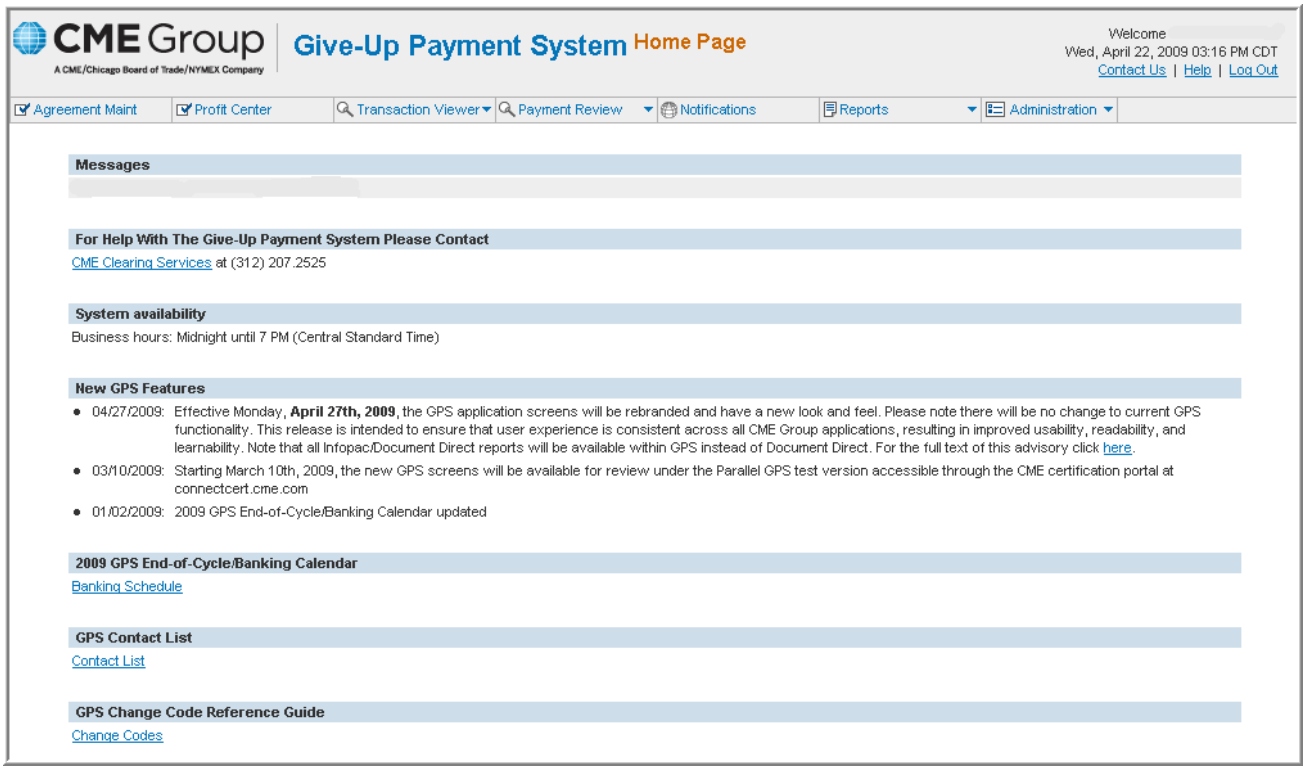
Getting Started

Welcome to the Give-Up Payment System online help system. CME Group's Give-Up Payment System (GPS) is a web-based application accessed via the CME Group portal that is used by clearing member firms' back office staff for processing payments on a monthly basis. GPS provides clearing firms with the ability to track give-up agreements and payments.

GPS system allows the firms to set rates at the exchange, commodity and session level for give-up trades - - those trades where one firm executes the trade and another clears it. The system will calculate pay/collect amounts and net everything at the end of the month for collection/payment.

GPS provides the following features:

- Web-based and accessible via the CME Group portal - https://gps.cmegroup.com
- Tiered Rates entry
- Creation of daily and monthly ad hoc reports
- Ability to search and view rates
- Payment adjustment
- Ability to delete and undelete trades


CME Group
A CME/Chicago Board of Trade/NYMEX Company
Give-Up Payment System Home Page
Welcome
Wed, April 22, 2009 03:16 PM CDT
Contact Us | Help | Log Out
Agreement Maint
Profit Center
Transaction Viewer
Payment Review
Notifications
Reports
Administration
Messages
For Help With The Give-Up Payment System Please Contact
CME Clearing Services at (312) 207.2525
System availability
Business hours: Midnight until 7 PM (Central Standard Time)
New GPS Features
04/27/2009: Effective Monday, April 27th, 2009, the GPS application screens will be rebranded and have a new look and feel. Please note there will be no change to current GPS functionality. This release is intended to ensure that user experience is consistent across all CME Group applications, resulting in improved usability, readability, and learnability. Note that all Infopac/Document Direct reports will be available within GPS instead of Document Direct. For the full text of this advisory click here.
03/10/2009: Starting March 10th, 2009, the new GPS screens will be available for review under the Parallel GPS test version accessible through the CME certification portal at connectcert.cme.com
01/02/2009: 2009 GPS End-of-Cycle/Banking Calendar updated
2009 GPS End-of-Cycle/Banking Calendar
Banking Schedule
GPS Contact List
Contact List
GPS Change Code Reference Guide
Change Codes

The Give-Up Payment System Home Page is important to view as CME Group will utilize this screen to communicate messages to the Users. Information on this page is subject to change, but will display such items as Banking Schedule, Recent Enhancements, Contact Information, System Availability and Change Code Listing.

See the following Client Systems Wiki page for CME Clearing Services contact information.

http://www.cmegroup.com/confluence/display/EPICSANDBOX/Contact+Information#ContactInformation-ClearingServices

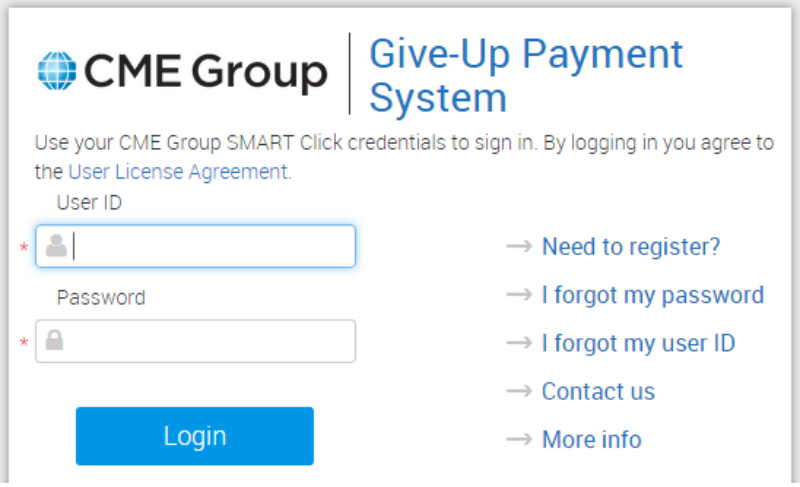
Log In to Give-Up Payment System

CME Account Manager uses SMART Click to manage application authentication. SMART Click is a self-managed, centralized user profile service that authenticates access to CME Group applications and services.

Prior to logging in to CME Account Manager, users should ensure the SMART Click registration procedures are completed.

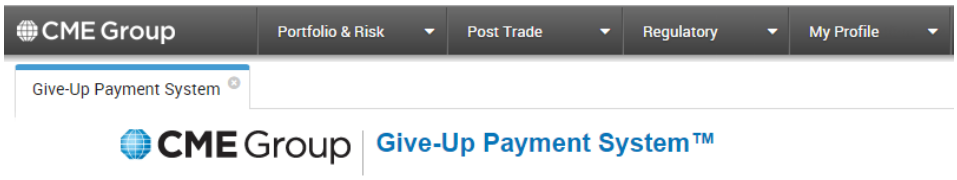
To log in to CME Group Connect:

1. Using a web browser, navigate to the Give-Up Payment application by enteringhttps://gps.cmegroup.com in the address bar.
2. Enter your SMART Click **User ID** and **Password**, then click Login.


CME Group
Give-Up Payment System
Use your CME Group SMART Click credentials to sign in. By logging in you agree to the User License Agreement.
User ID
Password
Login
Need to register?
I forgot my password
I forgot my user ID
Contact us
More info

If successful, the Home Page appears.

From the common navigation menu, users can select other select other SMART Click integrated applications.



What's New

The list below illustrates the updates made to the Give-Up Payment System Help system.

Date	Author	Topic	Description
7/2/15	mr	Getting Started	login instructions updated for SMART Click integration
5/22//15	mr	Getting Started	application url updated
10/15/14	JJ		Added Feedback feature
5/14/14	RA	All	Comprehensive update to Help system.
5/9/12	--	All	Initial release of Help system.

Requesting Access to Give-Up Payment System (GPS)

Access to GPS is granted through written request from an officer of the clearing member firm. In addition users must have a SMART Click profile to associate with their GPS account.

To request access to the Give-Up Payment Sytem:

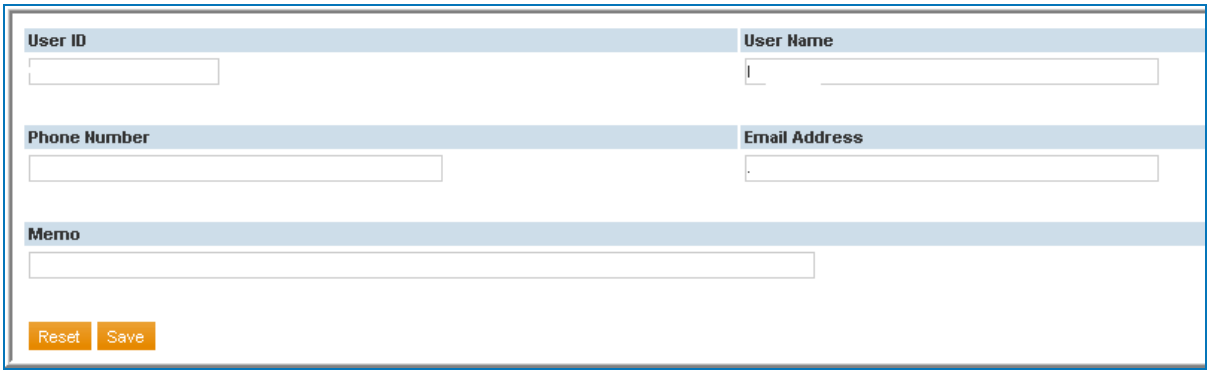
1. Download the Member Firm On-Line System Access Request Form: http://www.cmegroup.-com/clearing/files/onlineaccess.pdf
2. Complete the form and ensure that it is signed by an officer of the clearing member firm.
3. Fax the form to the Customer Support Group at (312) 338-2626.
4. Allow 48 hours to process the request.

Change User Contact Information

You may enter or update your contact information on the "Update Contact Info" page.

To change your user contact information:

1. Point to the **Administration** tab.
2. Point to **My GPS**.
3. Click **Update Contact Info**.



4. Make any necessary changes.
5. Click **Save**.

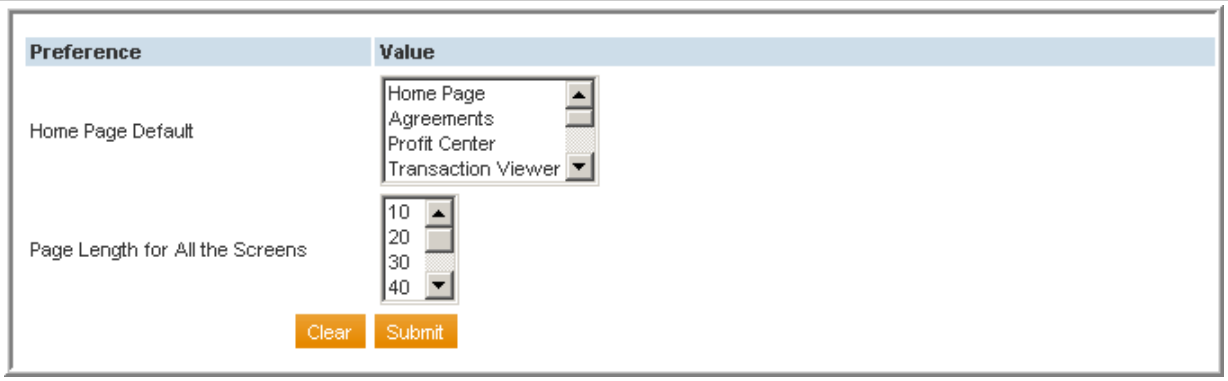
Note: This contact information will be available to other GPS users.

My Preferences

Using the My Preferences function, users can specify the default start page and number of agreements, rates, accounts to appear.

To change your user preferences:

1. From the to the **Administration** tab, move the mouse pointer over **My GPS**.
2. Click **My Preferences**.



3. Make a selection in the **Home Page Default** scroll box.
4. Make a selection in the **Page Length** scroll box.
5. Click **Submit**.

Helpful Tips

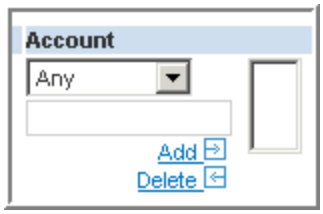
For controls that look like the following:

To select multiple items, hold down the CTRL key on your keyboard and click on the item(s) on which you would like to search.

To deselect this search criterion, hold down the CTRL key on your keyboard and click on the item(s) that you would like to deselect by removing the highlighting from each item that was previously selected.

Note: If no specific criterion is selected in these fields, then the search will include both items.

For controls that look like the following:



- If no specific criteria are entered in these fields, the search will include all items.
- To narrow your search criteria for these fields, first select the method you would like to use to specify your criteria using the drop-down arrow:
  - **Any** allows you to search for all items and is the default selection.
  - **Begins With** allows you to enter the first few numbers and/or letters of the item(s) on which you want to search.
  - **Contains** allows you to enter a string of numbers and/or letters and search for all items that contain that string.
  - **Ends With** allows you to enter the last few number and/or letters of the item(s) on which you want to search.
  - **Equals** allows you to enter the exact item for which you want to search; you can also use “equals” to enter multiple accounts so that it works as an “is in” option.

Note: You are only able to use one search method per field (for example, you cannot select both “Begins With” and “Equals”).

- For all selections other than Any, type in the item you want to search for in the box below the drop-down menu, click the Add hyperlink to add that item to your search list. Note: You must select the Add hyperlink in order for your search to execute properly. If you do not, you will receive an error message.
- To delete an item from the search list, click to highlight that item in your search list box and click the Delete hyperlink.

Agreement Maintenance

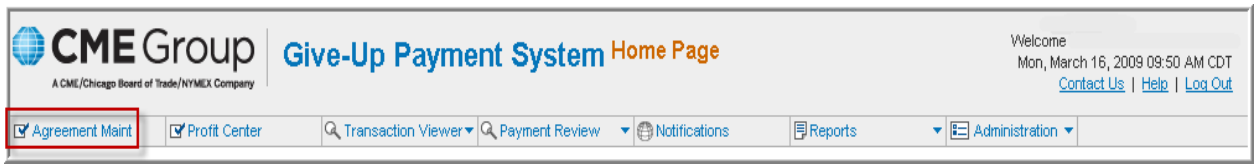
Clearing Member Firms negotiate agreements with customers who provide execution services.

The agreement covers several accounts held by the customer. These accounts may be distributed among several different carrying firms.

Rates are defined by the agreement

You can perform the following tasks from the **Agreement Maintenance** page:

- View Agreements
- View Rates
- View Accounts



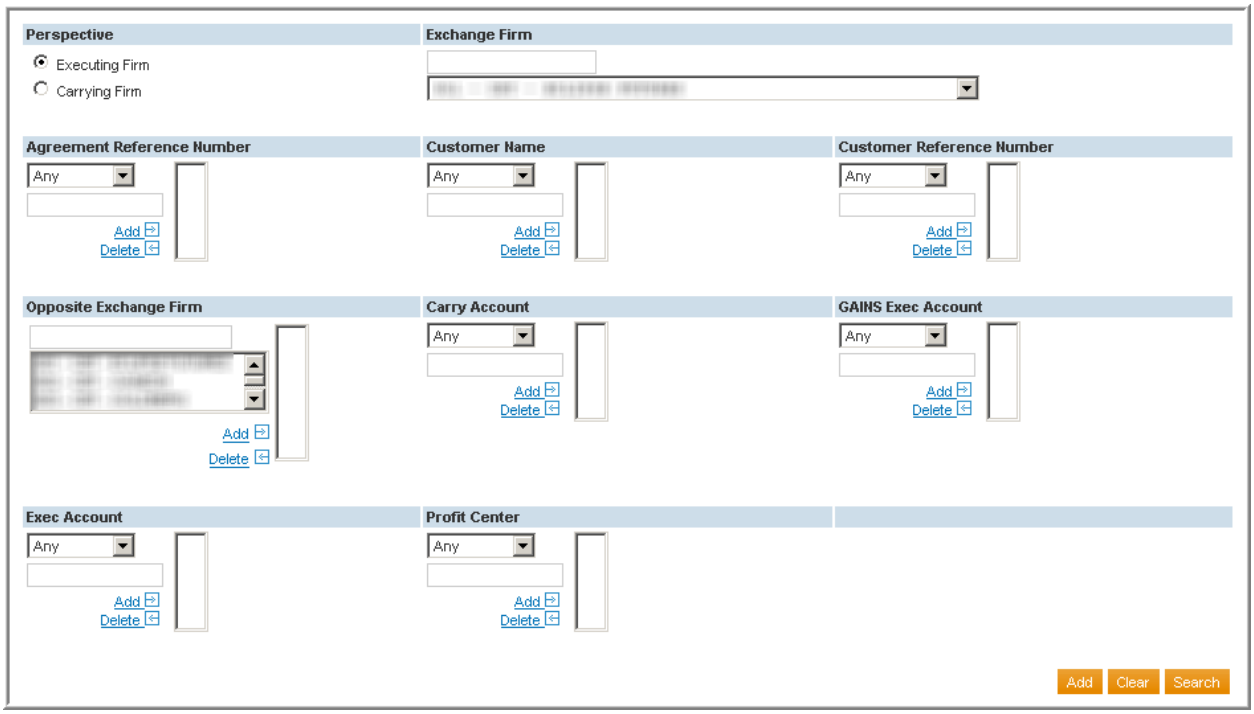
Agreement Maintenance – View Agreements

You can perform the following tasks from the **Agreement Maintenance** page when View Agreements is selected in the drop-down:

- Agreement Search
- Agreement List
- Add an Agreement
- Edit an Agreement
- Copy an Agreement
- Delete an Agreement

Agreement Search

Executing firms can find, view, edit, copy and add agreements while Carrying firms can only find and view agreement information.



To perform an Agreement Search

1. Select **Executing Firm** or **Carrying Firm** under **Perspective**.
2. Select the firm you would like to review.

   Input the 3-digit firm id into the text box or make a selection in the drop-down list.

   You can only access those firms for whom you have permission.
3. Click **Search**.

Additional Search Criteria

Use the additional search criteria listed below to narrow your agreement search:

Field	Description	Valid Entry
Agreement Reference Number	Unique alphanumeric identifier for each agreement within the executing firm that identifies all the accounts and rates that are associated with that agreement.	See Search Parameters below.
Customer Name	Customer's name on the Agreement	
Customer Reference Number	Assigned by the executing firm	
Carry Account	Provides the ability to view agreements that contain the	

	specified carry account	
Account Memo Field	This field is for informational purposes only.	
Opposite Exchange firm	View only agreements by the opposite firm.	Enter the 3-digit firm id in the text box or make a selection in the drop-down list.

Search Parameters

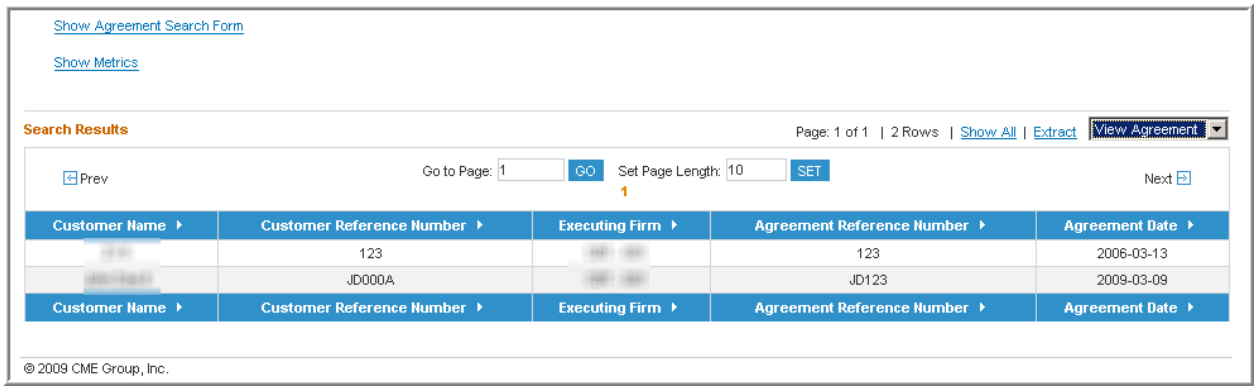
- **Any** allows you to search for all items and is the default selection
- **Begins With** allows you to enter the first few numbers and/or letters of the item(s) on which you wish to search.
- **Contains** allows you to enter a string of numbers and/or letters and search for all items that contain that string
- **Ends With** allows you to enter the last few number and/or letters of the item(s) on which you wish to search.
- **Equals** allows you to enter the exact item on which you want to search; you can also use "equals" to enter multiple items so that it works as an "is in" option.
- **Free text**.

Agreement List (Executing and Carrying Perspective)

Your result set should now contain the List of Agreements based on your specified criteria in the search form.

To view the Agreement List

1. Select **View Agreement** from the drop-down.
2. Click "Show All" for all of the results to appear on one page or go to "Set Page Length" and enter the number of rows to display.



3. Click on the agreement you would like to view.
4. The agreement displays.

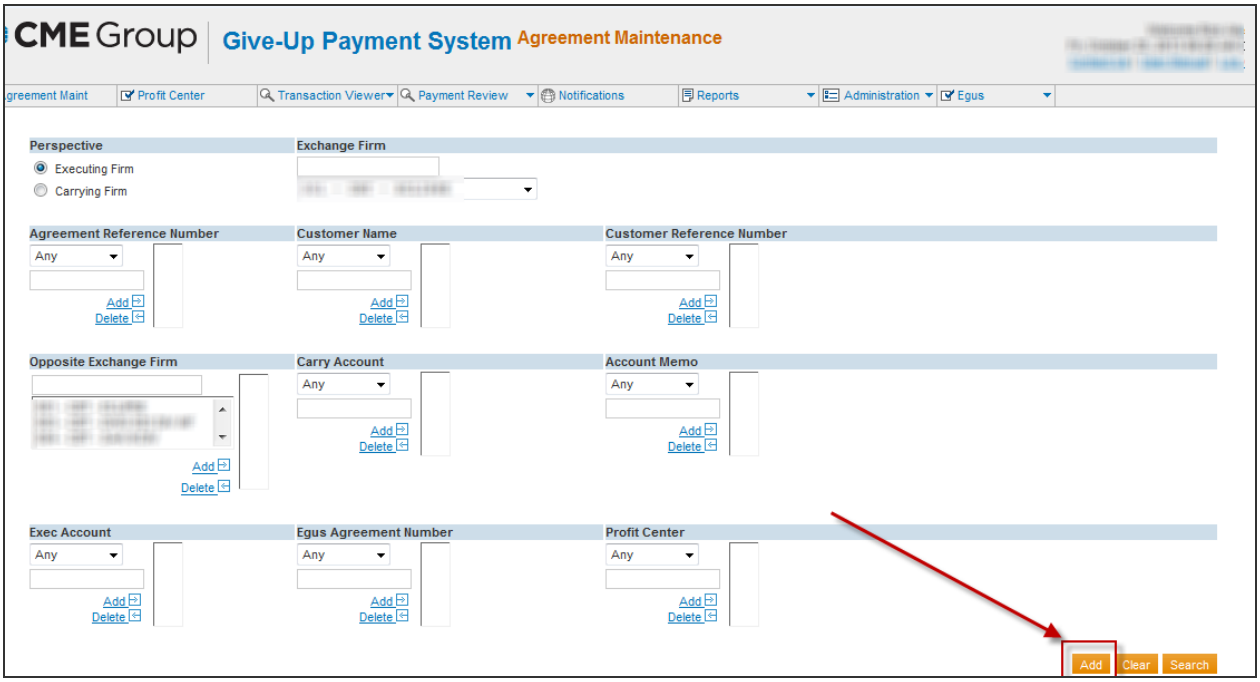
Add an Agreement (Executing Perspective Only)

You may add an agreement on the Agreement Search page.

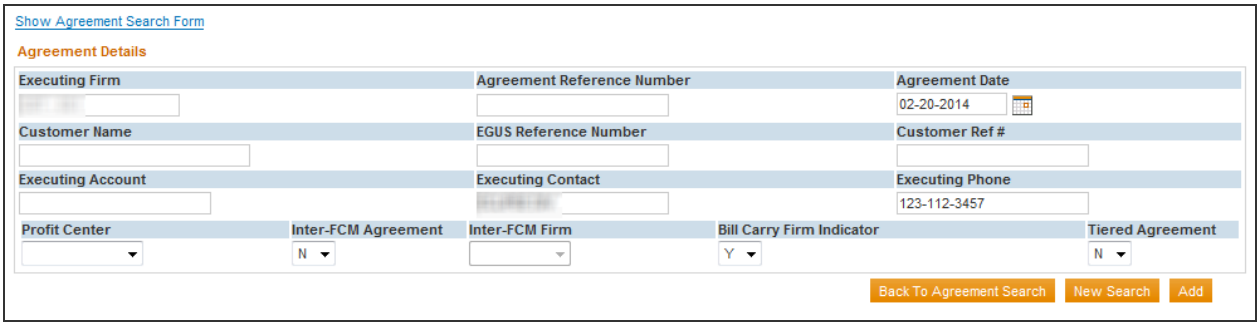
To add an agreement:

1. On the Agreement Search page, click **Add**.

Note: The "add" agreement feature is only available from the Executing firm perspective.



A template will display:

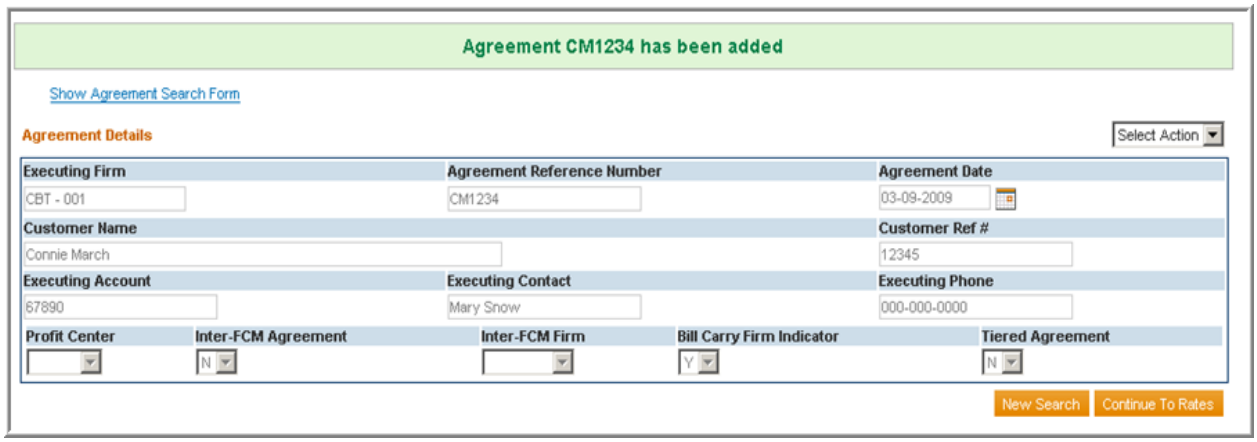


Note: Firms may only backdate an agreement up to 3 months.

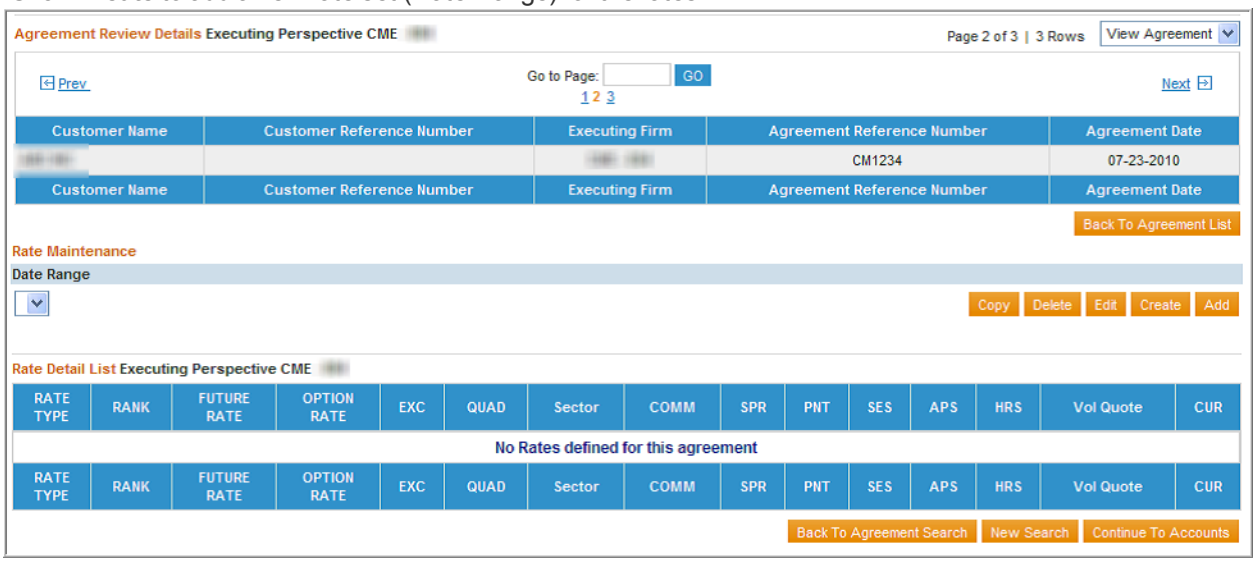
2. Enter the Agreement Details.
3. Click **Add**.

   The system displays a confirmation message.
4. Continue to add rates to the agreement.
5. Select **View Rates** from the drop-down list.
6. Click on the agreement.
7. Enter the Agreement Details.
8. Click **Add**.

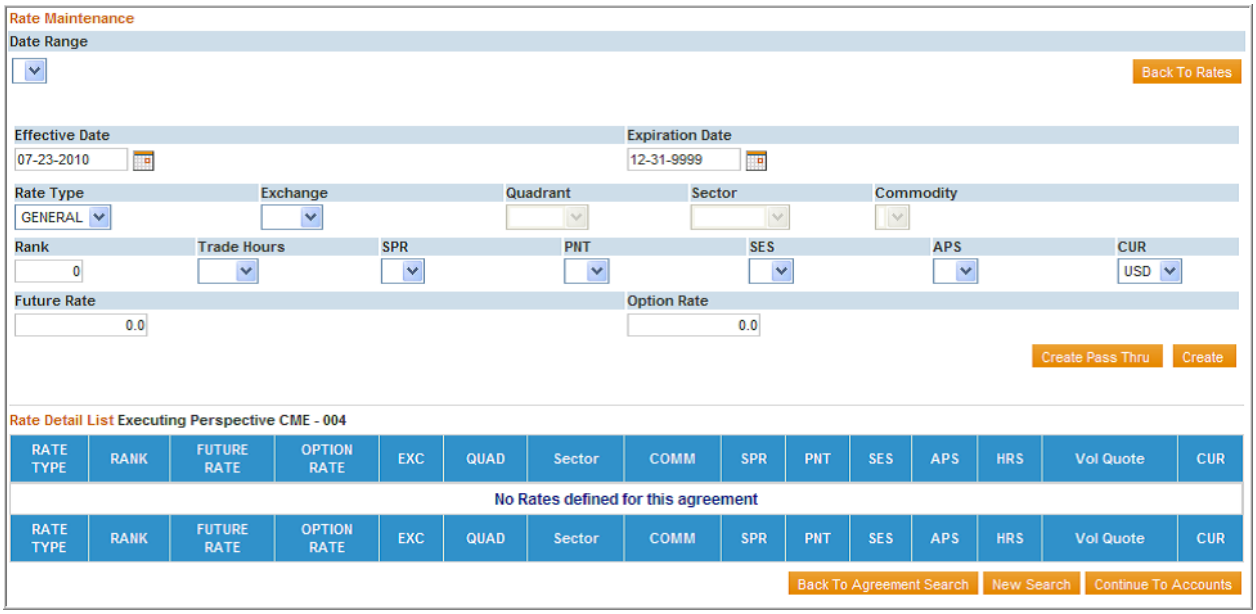
   A confirmation message displays indicating that the new agreement has been added to the system.



9. Click **Continue to Rates**.
10. Click **Create** to add a new rate set (Date Range) for the rates.



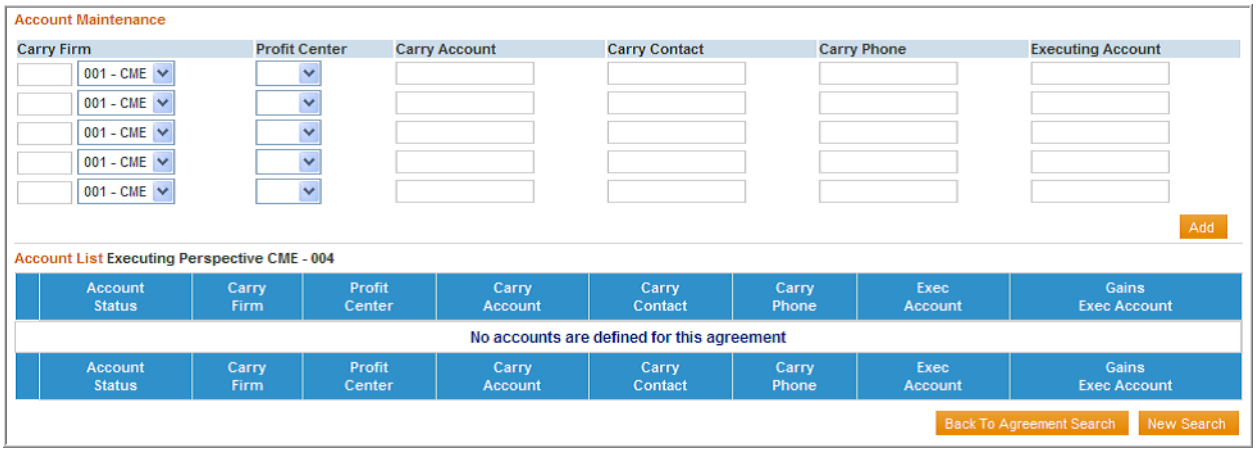
11. Enter the **Effective Date** and **Expiration Date**.



To add another rate with the same date range, click **Add**.

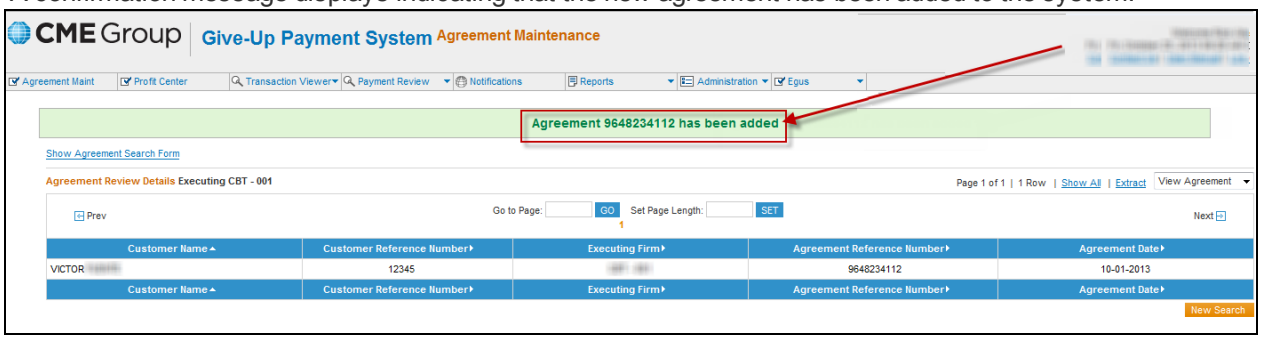
A confirmation message displays indicating that the new rate has been added to the system.

12. Click **Continue To Accounts**.
13. Enter Account Maintenance information to add accounts to the agreement.



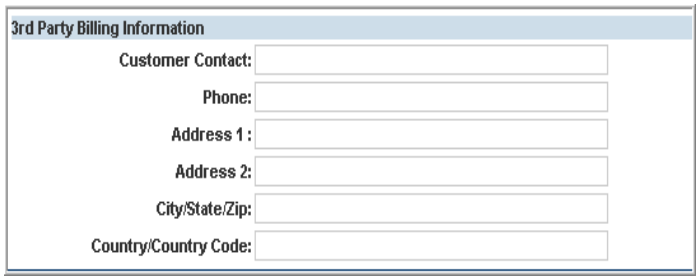
14. Click **Add**.

A confirmation message displays indicating that the new agreement has been added to the system.



Agreement Details Attributes

Field	Description/Valid Entry	Entry Required
Executing Firm	3-digit Firm id and its associated exchange.	Y
Agreement Reference Number	Executing firm-assigned Agreement Reference Number.	Y - Must be unique for executing firm
Agreement Date	Date the agreement was created, entered or updated.	Y - Agreement date must be no more than three months prior to the current business date
Customer Name	Customer Name for this Agreement	Y
EGUS Reference Number	Free-form text when field is updated through GPS. If agreement is downloaded from EGUS, this field will be populated automatically and is the EGUS identifying agreement number.	N
Customer Reference #	Executing firm-assigned Customer Reference Number.	Y
Executing Account	Executing firm account number for this customer/agreement. Note that this field is for informational purposes only. This field on the agreement record is not a pricing criterion.	Y
Profit Center	Sales office/profit center to which this agreement is associated. Values within profit center drop-down list will be blank (by default) and contain the predefined in the profit center ids derived from the profit center maintenance screen. **Note:** Depending on your security access level, you may not have access to the profit center screen.	N
Inter-FCM Agreement	Y=This is an Inter-FCM agreement which encompasses all accounts at a single carrying firm not defined in another agreement. Inter-FCM firm list will be disabled unless you select “Y”. N=Not an Inter-FCM agreement. Allows entry of multiple carrying firms and accounts under the agreement.	N - Can only be changed to “Y” if there are no cash adjustments associated with it.
Bill Carry Firm Indicator	Y= Select “Y” if the Carry Firm should be automatically billed through GPS. N= Select “N”, to indicate this agreement is a Third Party agreement. There will be input fields for the Third Party billing address information. It is required to enter, at minimum, the Customer Contact Name when specifying a Third Party agreement. Note that these agreements will still need to be billed manually by the firms.	N-If editing an agreement that has an associated rate-set, then the bill carry firm indicator may not be changed.



Tiered Agreement Indicator	Y= Select "Y" if the Agreement has tiered rates associated with it. N= Select "N" if the Agreement has a non-tiered rate structure associated with it. "N" is the default.	Y- If selected, an agreement with a tiered rate set cannot be changed to a non-tiered agreement.

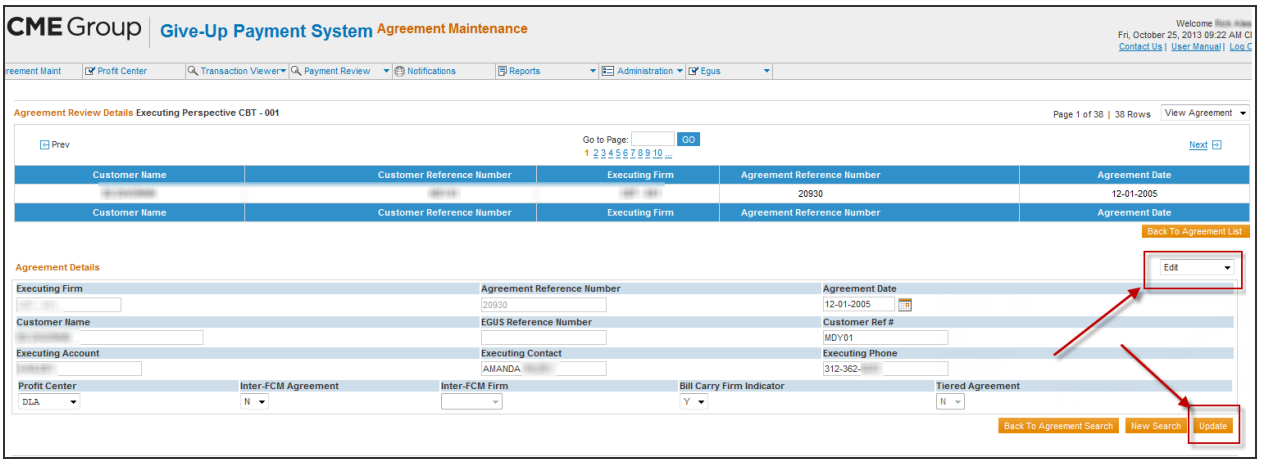
Edit an Agreement (Executing Perspective Only)

When viewing an agreement, you may edit the details.

To edit an agreement:

1. From the **Select Action** drop-down, select **Edit**.

Note: Only Executing firms may edit an agreement.



Note: The executing firm cannot modify the Executing Firm or the Agreement Reference Number.

Note: The Inter-FCM Agreement indicator can only be changed if there are no associated cash adjustments.

2. Edit the Agreement Details.
3. Click **Update**.
4. Click **Apply Changes**.

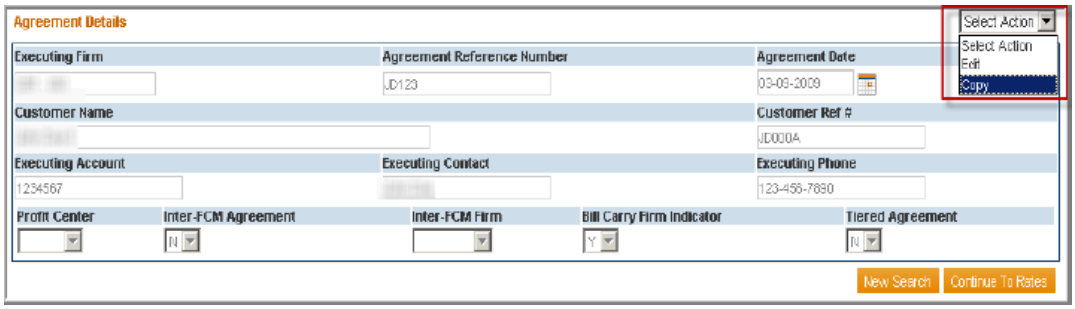
   You will receive a confirmation message indicating that the system has accepted the change.

Copy an Agreement (Executing Perspective Only)

You may make a copy of an agreement.

To copy an agreement:

1. From the **Select Action** drop-down, select **Copy**.



2. The Executing firm will only need to enter the Agreement Reference Number to complete the copy transaction.
3. Click **Add**.

   You will receive a confirmation message indicating that the system accepted the new agreement.

Delete an Agreement (Executing Perspective Only)

In the Agreement List, you may delete agreements.

To delete an agreement:

1. From the **Select Action** drop-down, click **Delete**.

   Note: You cannot delete an agreement if there are any give-up trades that are associated with the agreement.

   An alert message displays, asking, “Are you sure you want to delete the current agreement?”

2. Click **OK**.

Agreement Maintenance - View Rates

You can perform the following tasks from the **Agreement Maintenance** page when "View Rates" is selected in the drop-down:

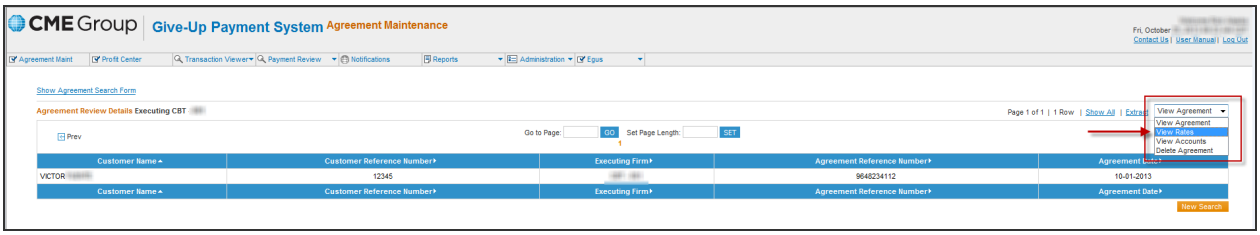
- View Rates
- Rate Details
- Accept/Reject Rate Set
- Rate Sets
- Rate Sequence

View Rates

From the Agreement List, you may view rates for an agreement. Executing Firms can view, copy, delete, edit, create or add rate sets. Carrying Firms can view and reject/accept rates sets.

To view rates:

1. Select **View Rates** in the drop-down.



2. Click an agreement.

Tiered Rates

A rate set must be established for each agreement. There are two types of rates: Tiered and Non-Tiered. Tiered rates are established at the agreement level. Once an agreement is determined to establish a tiered rate structure, it cannot be changed to a non-tiered structure, and vice versa.

A tiered rate structure enables you to link give-up rates to volume. For instance, a firm might want to "tier" the rates it will pay, offering a lower rate for larger volume, as in the following example:

Volume	Rate
1 – 99 contracts	$1.50/contract
100 – 499 contracts	$1.25/contract
500 – 2999 contracts	$1.20/contract
3000 - 10000 contracts	$1.10/contract
10000+ contracts	$1.00/contract

When creating a tiered rate set, you can add up to five levels of rates.

Tiered rates become effective on the first calendar day of the month and expire on the last calendar day of a month.

For non-tiered agreements, the effective date must be equal to or greater than the agreement date.

Each agreement can have multiple rate sets defined by effective date. There are two types of rate sets.

- General Rates – used to default rates for futures and options
- Specific Rates – used to set individual rates for futures and options by commodity code and exchange

Rate Details

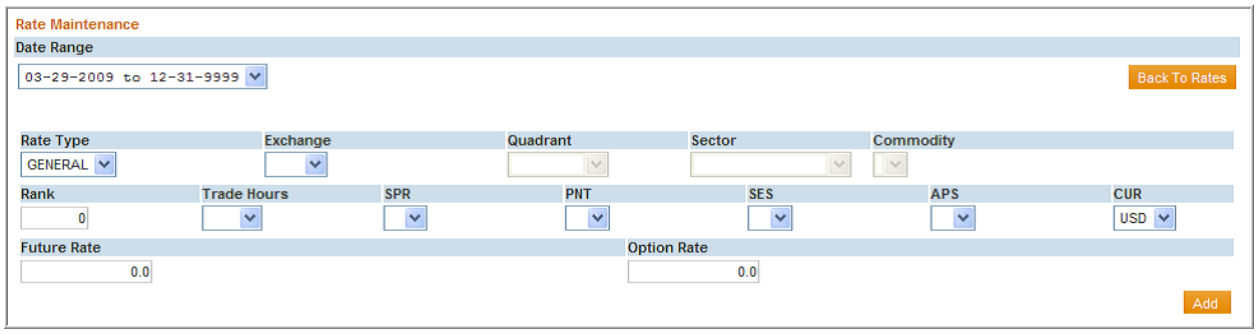
You may perform the following tasks for rate details on the Rate Maintenance page:

- Add Rate Details (Executing Perspective Only)
- Edit Rate Details (Executing Perspective Only)
- Delete Rate Details (Executing Perspective Only)

Add Rate Details (Executing Perspective Only)

To add rate details:

1. Click **Add**
2. Add details for the rate set.



Rate Details Field Descriptions

Field	Description/Valid Entry
Rate Type	General - used to set default rate for futures & options Specific - used to set individual rates for futures and options by commodity code and exchange.
Rank	Sequence in which the rate is calculated. Specific Rate sets are calculated first then General. Rates with the highest "rank" number are the first to be calculated.
Exchange	• CBOT - Chicago Board of Trade • CCE - CME Clearing Europe • CEU - CME Europe LTD. • CME - Chicago Mercantile Exchange • CMX - New York Mercantile Exchange: COMEX • NYX - New York Mercantile Exchange • OCC - Options Clearing Corporation
Commodity	For Rate Type 'Specific' only: You must first select an Exchange in order to be able to select from the pre-populated commodity codes in the drop-down list.
Future Rate	The dollar amount of the futures rate as a whole number. Includes a decimal point if cents are entered. (Field defaults to zero if left blank)
Option Rate	The dollar amount of the options rate as a whole number. Includes a decimal point if cents are entered. (Field defaults to zero if left blank)
Order Handling Indicator	Field is free-form. Current values/definitions as defined by the FIA are: A = Phone simple B = Phone complex C = FCM-provided screen D = Other-provided screen

	E = Client-provided platform controlled by FCM F = Client-provided platform direct to exchange G = FCM API or FIX H = Algo Engine J = Price at execution (price added at initial order entry, trading, middle office or time of give-up) W = Desk - Electronic X = Desk - Pit Y = Client - Electronic Z = Client - Pit
SPR (Spread Type)	Select the Spread indicator to set rate by the following spread types: • D: Differential Spreads • L: Legged Spreads • S: Spread Trade (includes legged and differential) • P: PIT Trade Blank = Any input value will provide a match.
PNT (Privately Negotiated Trades)	Select the PNT Indicator to set rate by the following PNT types: • B: Block Trade • E: EFP Trade (Exchange for Physical) • N: EFR Trade (Exchange for Risk) • T: EFS Trade (Exchange for Swap) • O: OPNT (Old Privately Negotiated Trade) • *C: RFC (Request for Cross) **Note:** RFCs are handled as a PNT for GPS pricing purposes only. Blank = Rates will be applied (match) on a blank value only. Please note that the Blank value denotes that this is not a PNT Transaction. An EFP refers to a privately negotiated and simultaneous exchange of a futures position for a corresponding cash position (i.e., a basis trade) apart from the public auction market in the context of a non-interest rate contract.
SES (Session)	Select the Session Indicator to set rate by the following Session types: • D: Day • E: Evening • G: GLOBEX Blank = Rates will apply (match) on any value
APS	Select the APS Indicator to set rate by the following APS types: A: APS Trade (Average Price Trade) G: Give Up Trade (a.k.a. Allocated Claim System)

	Blank = Rates will apply (match) on any value
Vol Quote	Select "Y" or "N" to set rate for trades, volatility quoted or not.
Exchange	CBT - CHICAGO BOARD OF TRADE CCE - CME CLEARING EUROPE CEU - CME EUROPE LTD. CME - CHICAGO MERCANTILE EXCHANGE CMX - NEW YORK MERCANTILE EXCHANGE:COMEX NYX - NEW YORK MERCANTILE EXCHANGE OCC - OPTIONS CLEARING CORPORATION Exchange can be used by itself for a generic rate or together with the commodity code for specific rates.
CUR (currency)	For all third-party agreements, any currency is valid. For a US non-third party agreement, only USD is valid. For a European non-third party agreement, USD, EUR and GBP are valid. Codes are as follows: AUD – Australian Dollar MXN – Mexican Peso CAD – Canadian Dollar NOK – Norwegian Krone CHF – Swiss Franc NZD – New Zealand$ EUR – Euro SEK – Swedish Krona GBP – British Pound USD – US Dollars JPY – Japanese Yen ZAR – S.A. Rand
Trading Hours	E = ETH: Electronic Trading Hours R = RTH: Regular Trading Hours (Open Outcry/Pit-traded)
Quadrant	If quadrant is selected, then individual commodities may not be selected and vice versa. Quadrants are: CBOT: AG, FIN, INDEX CME: AGS, CURR, INDX, INT CMX: AG, ENERGY, FIN, INDEX, METAL NYX: AG, ENERGY, FIN, GREEN, INDEX, METAL

Edit Rate Details (Executing Perspective Only)

To edit rate details:

1. Click **Edit**
2. Select the line item you wish to edit.
3. Make the required modifications.
4. Click **Apply**.

Delete Rate Details (Executing Perspective Only)

To delete rate details:

1. Click **Delete**
2. Select the line item you wish to delete.

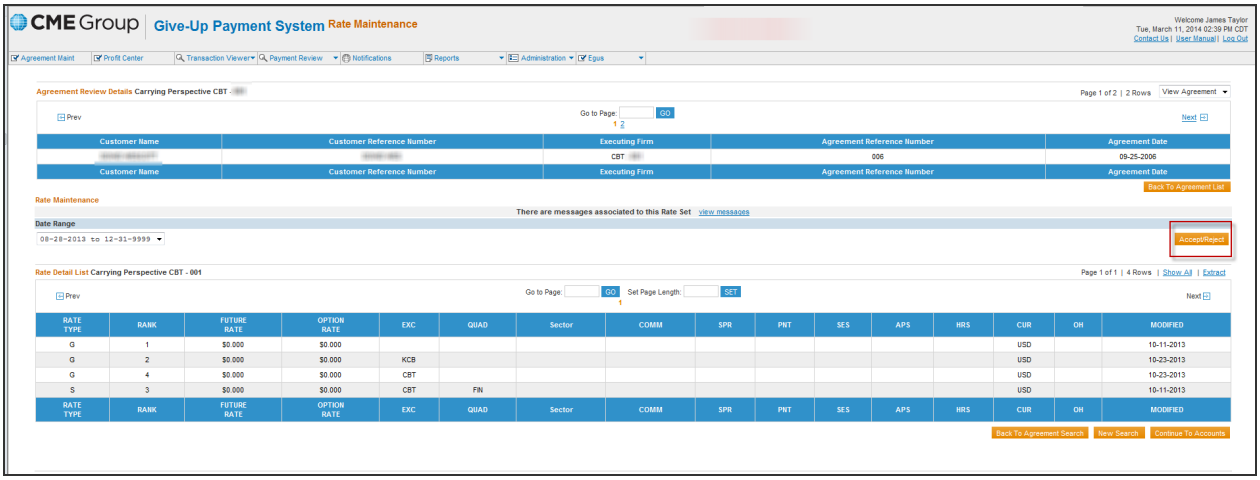
   An alert message displays, asking, “Are you sure you want to delete the current rate?”
3. Click **OK**.

Accept/Reject Rate Set (Carrying Firm Perspective Only)

You may accept or reject rate sets from the Rate Maintenance page.

To accept or reject a rate set:

1. Click **Accept/Reject**.



You will be prompted with Rejection Messages for the Current Rate Set.

2. Select **Accepted** or **Rejected** from the drop-down.

   If you select **Rejected**, then you will be prompted to enter either your own message or one of the generic messages before the rate set can be rejected.

   If you select **Accepted**, no message will be required.

3. Click **Submit** .

   A message displays indicating that the Rate has been successfully ACCEPTED or REJECTED.

Rate Sets

A rate set must be established for each agreement. You may perform the following tasks for rate sets (executing perspective only):

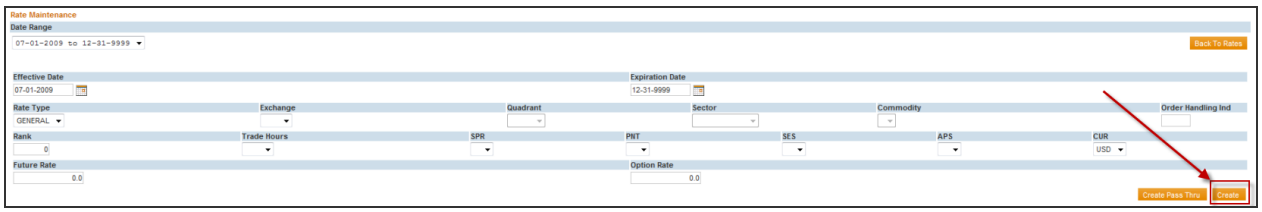
- Create Rate Sets (Executing Perspective Only)
- Copy Rate Sets (Executing Perspective Only)
- Delete Rate Sets (Executing Perspective Only)
- Edit Rate Sets (Executing Perspective Only)

Create Rate Sets (Executing Perspective Only)

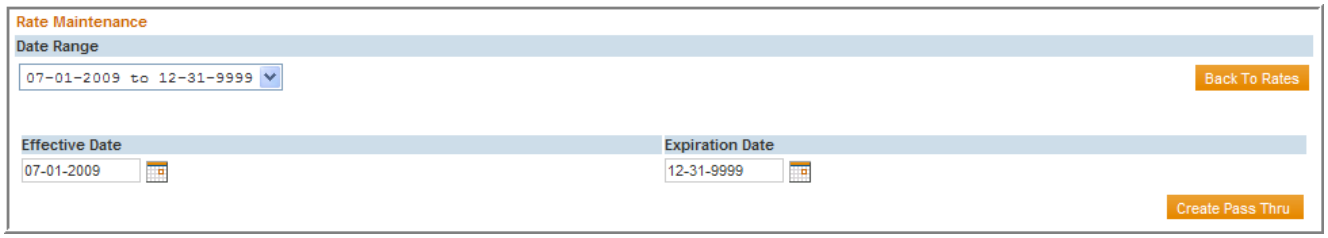
You may create a new rate set, which includes adding the rate details, effective date, and the expiration date.

To create rate sets:

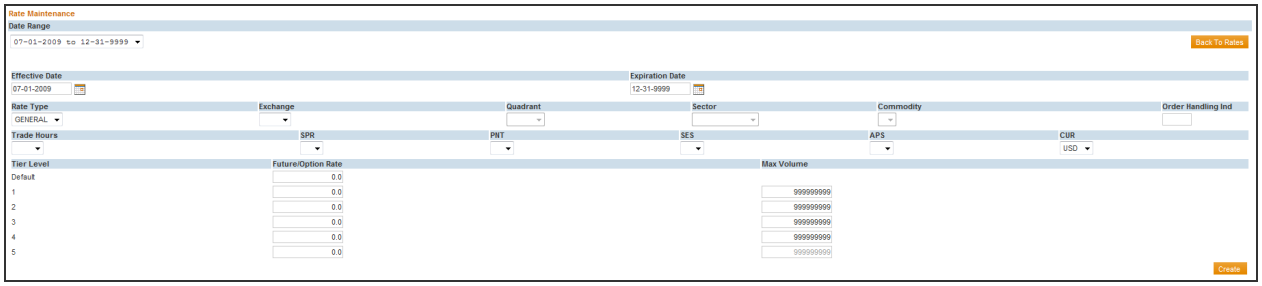
1. Click **Create**.



2. Add a "pass thru" to indicate that rates should not be applied to this agreement.
    a. Click **Create Pass Thru**.



For tiered agreements, the **Rate Maintenance** screen displays.



The Default rate will apply to product/groups not specified by the tiered agreement. Tiered rates apply to futures and options equally; you cannot specify different rates for futures versus options.

Copy Rate Sets (Executing Perspective Only)

You may add a rate set that mirrors a rate set of another existing agreement.

To copy rate sets:

1. Click **Copy**
2. Choose the agreement with the rates that you would like to copy.
3. Enter the **Effective Date** of the new rate set.
4. Click **Submit**.

   The rate list is immediately updated.

Delete Rate Sets (Executing Perspective Only)

Unlike agreements and accounts, rates can be deleted if trades are associated with them.

Note: None of the fees for the attached give-up trades will be calculated once the rate set has been deleted.

To delete rate sets:

1. Click **Delete**.

   An alert message displays, asking, “Are you sure you want to delete the current rate set?”
2. Click **OK**.

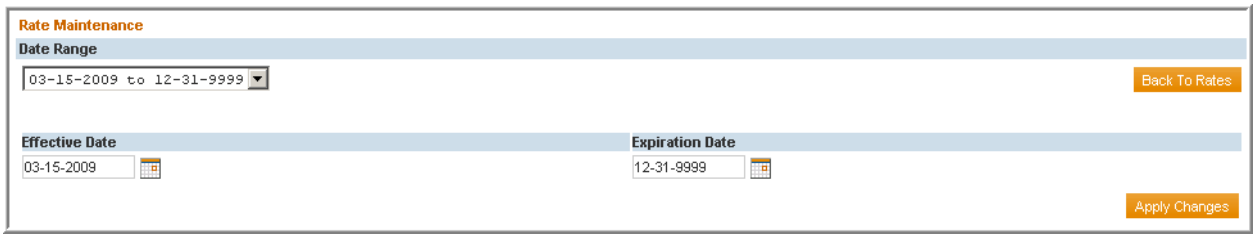
Edit Rate Sets (Executing Perspective Only)

The Edit option on the Rate Maintenance screen allows the end-user to modify the start and/or end date of the rate set.

To edit rate sets:

1. Click **Edit**.
2. Select the **Date Range**.
3. Click **Apply Changes**.
4. A confirmation message displays indicating that the rate set has been updated.

   All trades associated with the agreement with the updated rate set will be flagged to recalculated.



Rate Sequence

- GPS has a mechanism for applying rates.
- To ensure accuracy of the rates applied, GPS will let the end-user dictate the rate calculation hierarchy with the input field labeled “Rank”.
- This rate hierarchy is provided by effective date, from the most specific to the most general, when calculating fees. GPS calculates fees from the rates displayed on the specific rate list screen and searches backward to the top of the General rates list screen.

- Rank works by the higher the “rank” number, the first to be calculated. There will be two ranking lists, one for Specific and the other for General rates.

Agreement Maintenance - View Accounts

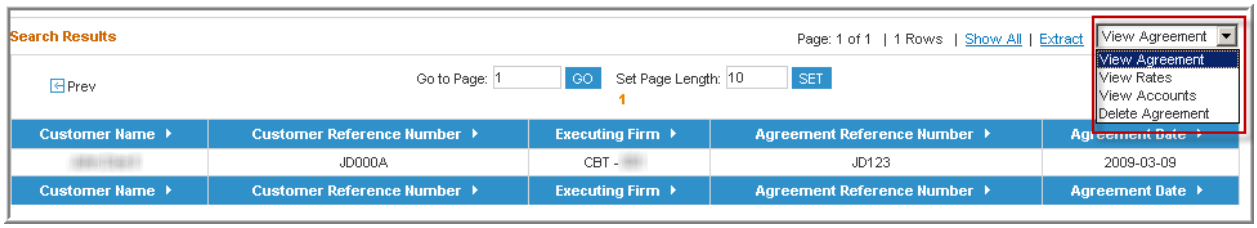
You can perform the following tasks from the **Agreement Maintenance** page when "View Accounts" is selected in the drop-down:

- View Accounts
- Inter-FCM Agreement
- Add Accounts
- Business Rules for Adding Accounts
- Account List
- Edit Account
- Transfer Account
- Delete Account
- View Messages from the Executing Perspective
- Accept/Reject Account
- View Messages from the Carrying Firm Perspective
- Agreement Business Logic

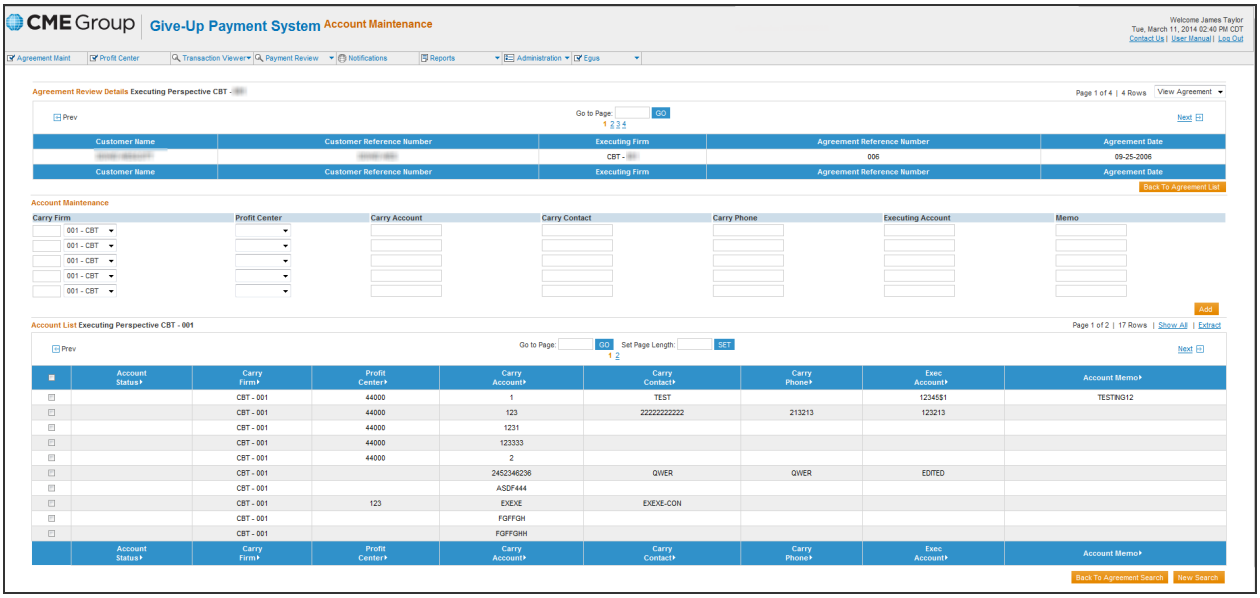
View Accounts

After executing an agreement search, you may view accounts.

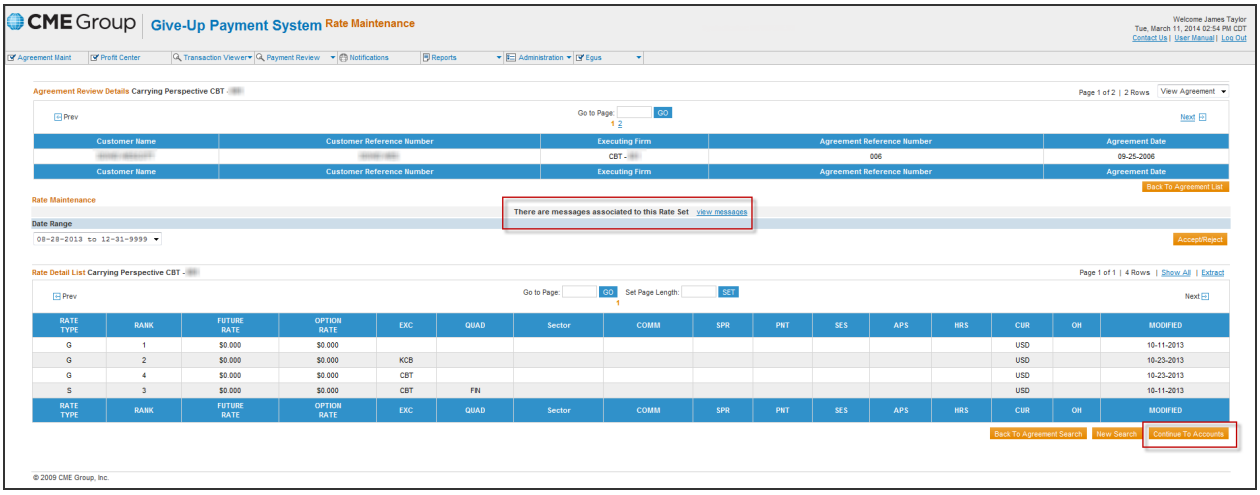
1. Select **View Accounts** from the drop-down.
2. Click an agreement.



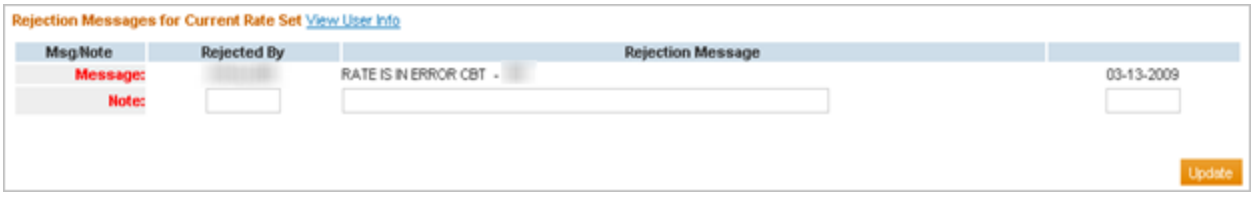
Executing Firms can define specific accounts under an agreement, which will all be charged by the same rate set. Carrying Firms can reject and accept accounts.


CME Group
Give-Up Payment System Account Maintenance
Agreement Review Details Executing Perspective CBT -
Account Maintenance
Account List Executing Perspective CBT - 001

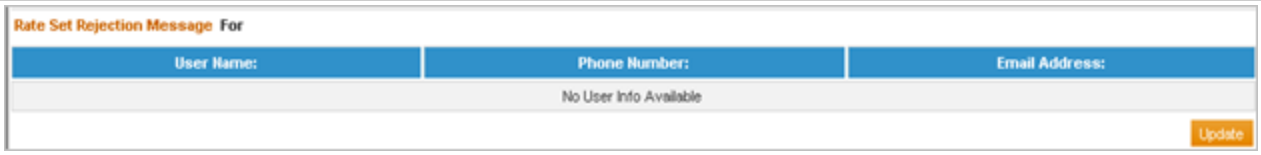
3. Click **Continue to Accounts**.


CME Group
Give-Up Payment System Rate Maintenance
Agreement Review Details Carrying Perspective CBT
Rate Maintenance
There are messages associated to this Rate Set view messages
Rate Detail List Carrying Perspective CBT -
Back To Agreement Search
New Search
Continue To Accounts
© 2009 CME Group, Inc.

Note: If there is a message associated with the Rate Set, click **View Messages**. This will display a read only view of the message entered. Under **Rejection Messages** you can add a note and click **Update**.



To view the user information, select the **View User Info** hyperlink. This will display a read only view of the user that rejected the Rate Set.



Inter-FCM Agreement

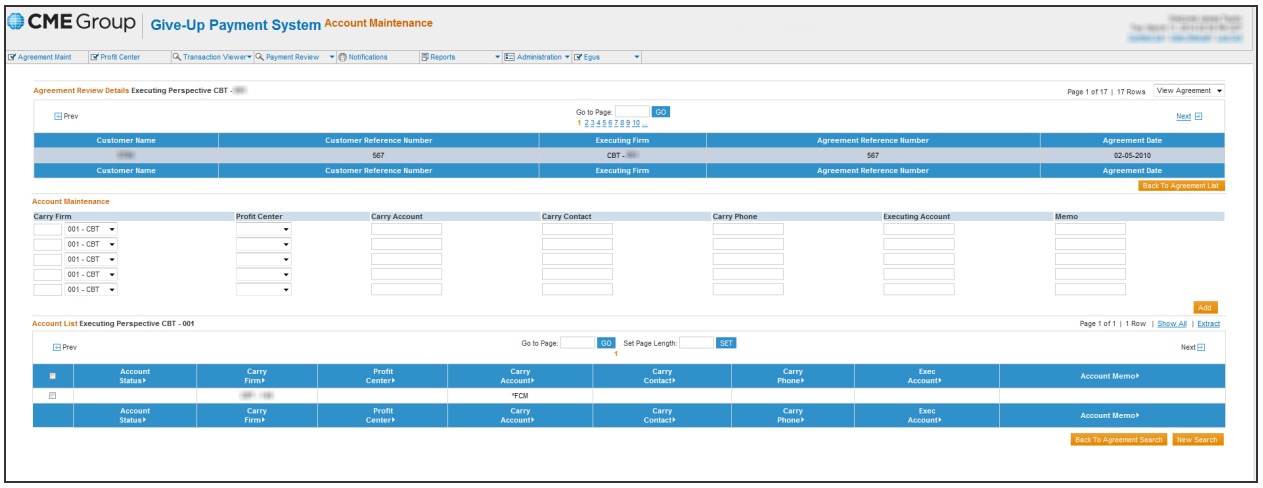
Executing firms cannot set up specific accounts under an Inter-FCM Agreement, since it is firm specific.

The system will display *FCM in the carrying firm account number field to indicate all accounts.

Agreements will not have update capability.

The screen will act as read-only (similar to the carrying firm perspective).

See the example below.



Note: If you need to change the account *FCM, you must first update the Inter-FCM Agreement to 'Y' on the Agreement Details Screen.

Add Accounts (Executing Perspective Only)

1. To add an account, the Executing firm must first define the Carrying Firm and the associated Carrying Firm Account numbers as they are defined by their Give-Up Agreement.

   Profit Center is an optional field, but can be used to segregate your accounts.

   Profit Center will be the executing firm's profit center(s) and the information will be pre-populated in the add screen.

   Therefore, if there are no profit centers in the drop-down list, they will need to be defined in the profit center screen (if you have access to view this screen).

   Note: By adding profit center you will have more than one payment record. So, within the payment screen, your payments will be segregated by profit center if this option is selected. Also, by adding profit center at the account level, it will take precedence over a profit center added at the Agreement level.

   The **Executing Account** field is optional, but if you populate **Executing Account**, GPS will utilize that field in combination with carry account, when determining when to apply the defined rate set against the trades.

   Note: Carry Contact, **Carry Phone**, and **Memo** fields are also optional fields.

2. After you have completed defining (at min) the respective Carry Firm & Carry Account, click **Add**. You may add up to five carry firms, carry account combinations at a time.

3. After you have completed defining (at min) the respective Carry Firm & Carry Account, click **Add**.

Note: You may add up to five carry firm, carry account combinations at a time.

After clicking **Add**, you receive a confirmation message that your accounts have been added.

Business Rules for Adding Accounts

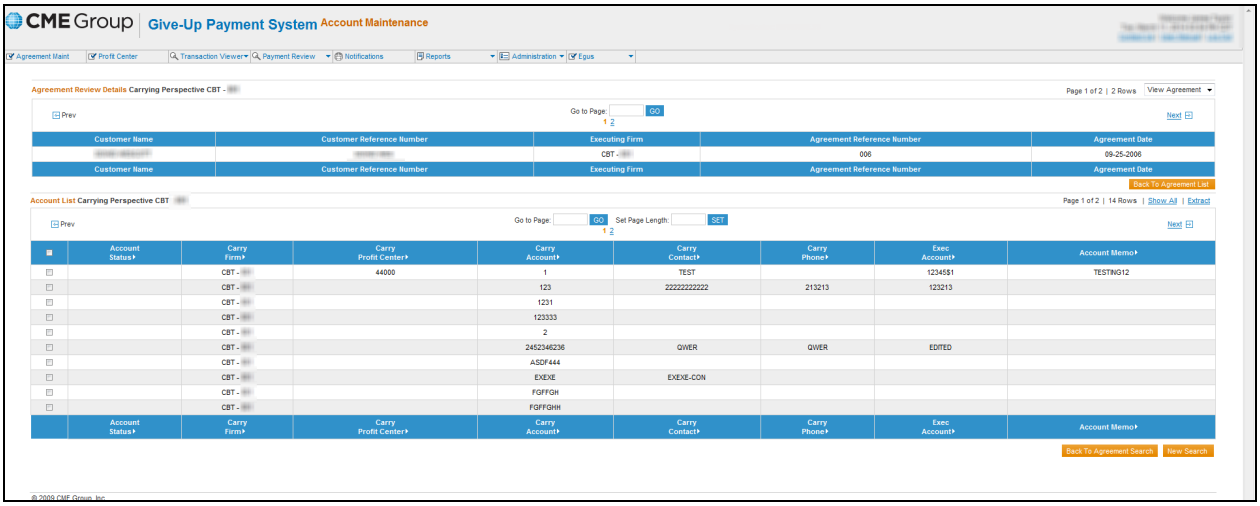
Account Uniqueness- Carry Account and Carry Firm must be unique for a particular agreement. However, GPS will allow for the same carry firm, carry account combinations as long as the Executing Account is different. Meaning, a combination of Carry Firm, Carry Account, and Executing Account as a whole must be unique within the system in order to apply the respective rate set.

Executing Account- If the Executing Account is populated, then that account will be used in combination with the carry account as a pricing criterion.

Pass Thru Agreements– The system will not use the Executing Account as a pricing criterion on pass-through agreements. This is the only time the Executing field will be used as an informational/read-only field.

Account List (Executing and Carrying Perspective)

- All added accounts appear in the **Account List** section.
- In this section, Executing Firms can edit, delete, or transfer an account to another agreement, or view messages on rejections.
- Carrying Firms can either reject or re-accept an account(s) within the account list.
- The **Account Status** field displays an “R” if the account has been rejected. All rejections in GPS contain a message.



Account List Column Descriptions

Column	Description
Account Status	Displays whether the account has been accepted (if left blank, implies acceptance) or rejected (“R”) by the carrying firm.
Carry Firm	Displays the 3-digit firm id and its associated exchange.
Profit Center	Displays the profit center to which this agreement is posted. If the account level profit center is populated, this will override the profit center entered at the agreement level. **Note:** The executing firm can add, but cannot delete or update a Profit Center at the account level if the system is in the lock period. (Optional) **Note 2:** The Carry firm now has the ability to add its own Profit Center visible only to the carry firm. The Carry Side Profit Center can be used to designate another bank account from where money can be debited.
Carry Account	Displays the carrying firm account number that will be used for calculation purposes.
Carry Contact	Displays the carrying firm contact person's name for this account.
Carry Phone	Displays the carrying firm contact person's phone number for this account.
Exec Account	Displays the executing firm account for which trades were executed. If populated, will be used in conjunction with the carrying account for calculation purposes.
Account Memo	Displays an editable informational field at the user's discretion.

Edit Account (Executing Perspective Only)

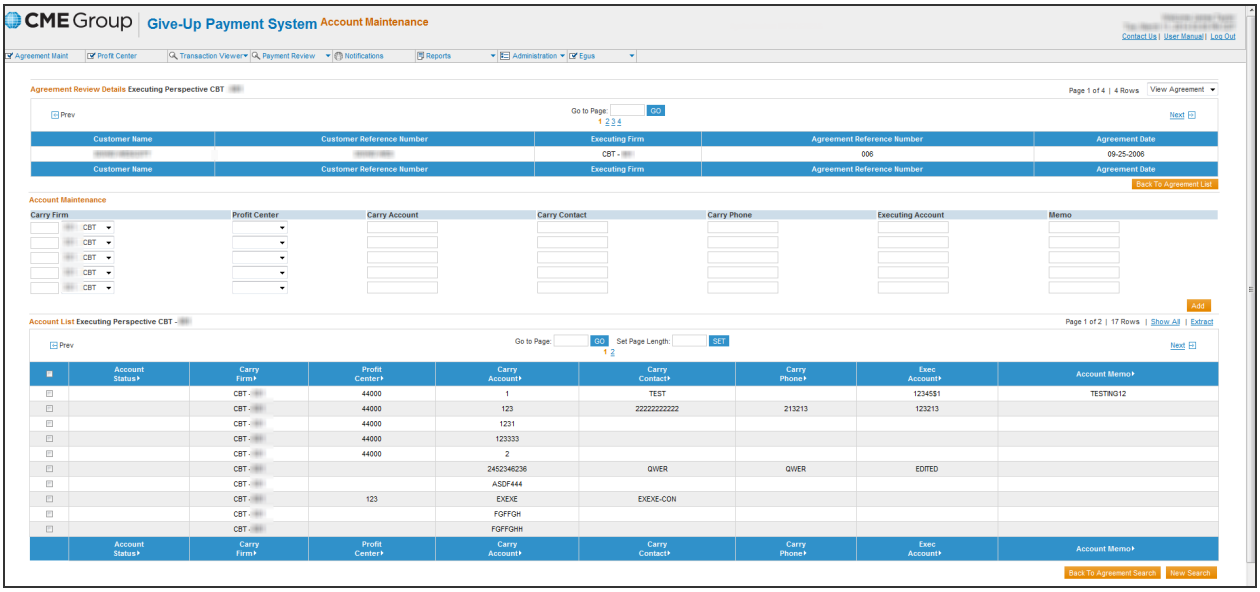
To edit an account:

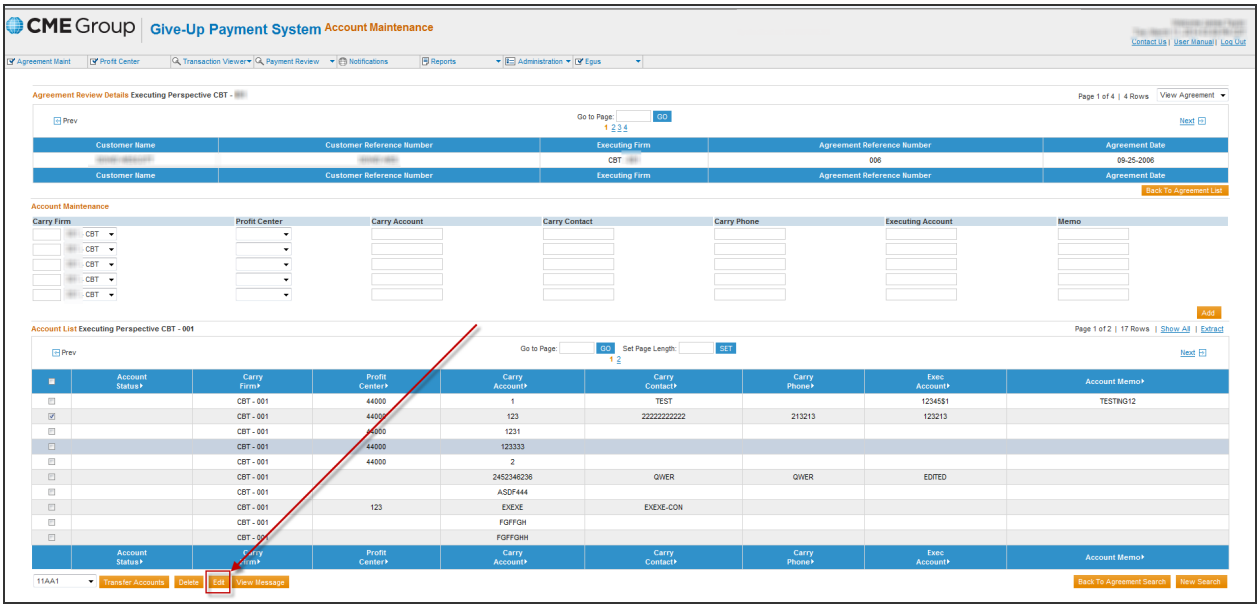
1. Click on the check box of the account to edit.

   The following options will display:

   - Transfer Accounts
   - Delete
   - Edit
   - View Message

2. Click **Edit**.

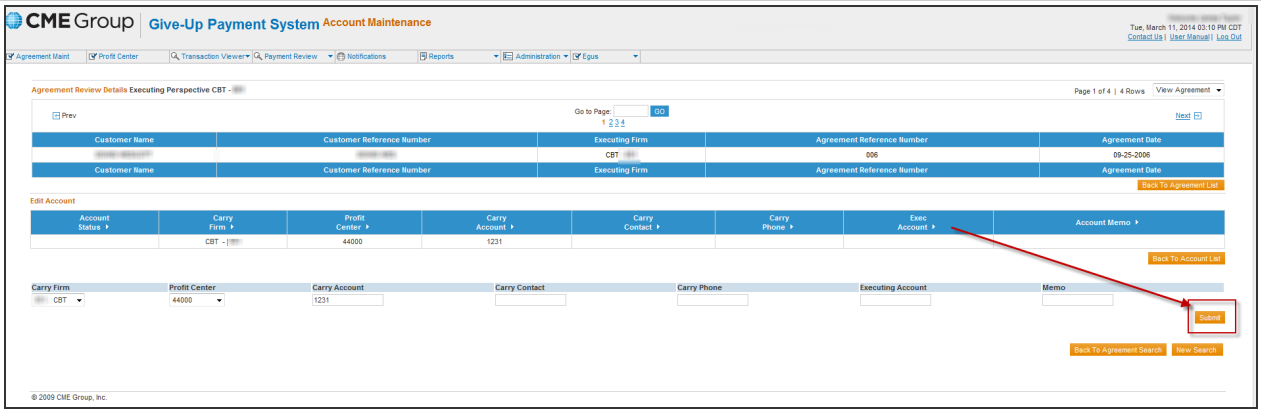




The **Edit Account** screen that displays all the associated fields used to add an account now appears in Edit mode.

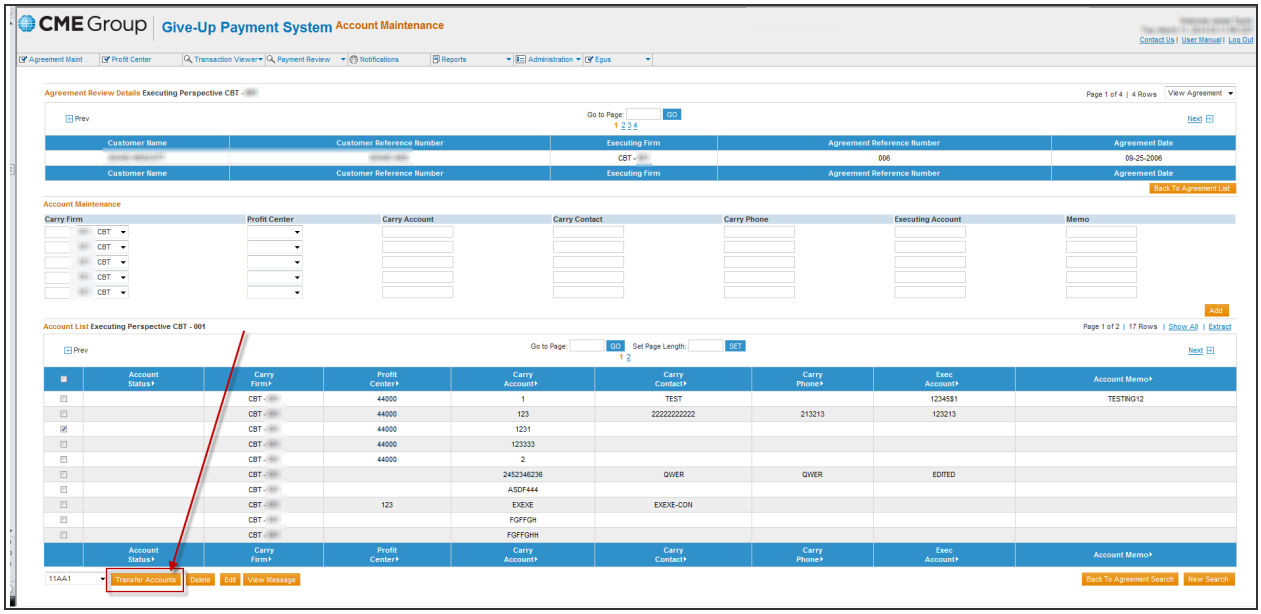
3. Make the required modification and click **Submit**.

   You will receive a confirmation message that the item has been updated.



4. If you do want to edit the account, click **Back to Account List**.

Transfer Account to Another Agreement (Executing Perspective Only)



To transfer an account to another Agreement:

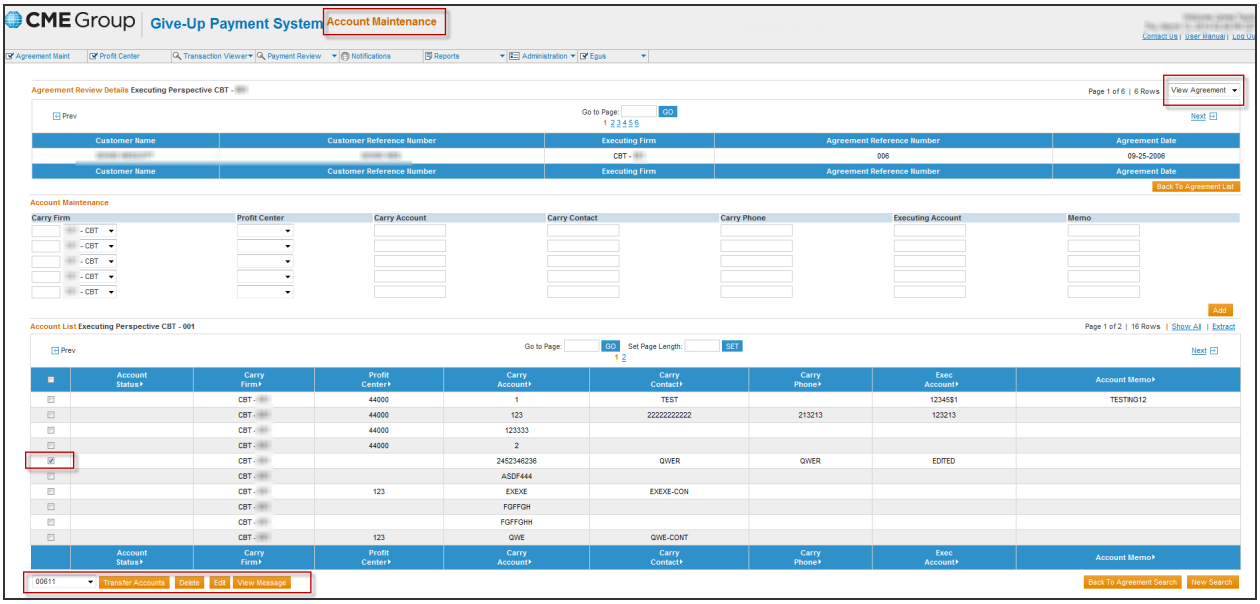
1. Click the check box and select an Agreement Reference number from the drop-down list.
2. Click **Transfer Accounts**.

   A confirmation message will display:

Delete Account (Executing Perspective Only)

To delete an account:

1. Click on the check box next to the line item you wish to delete.
2. Click **Delete**.



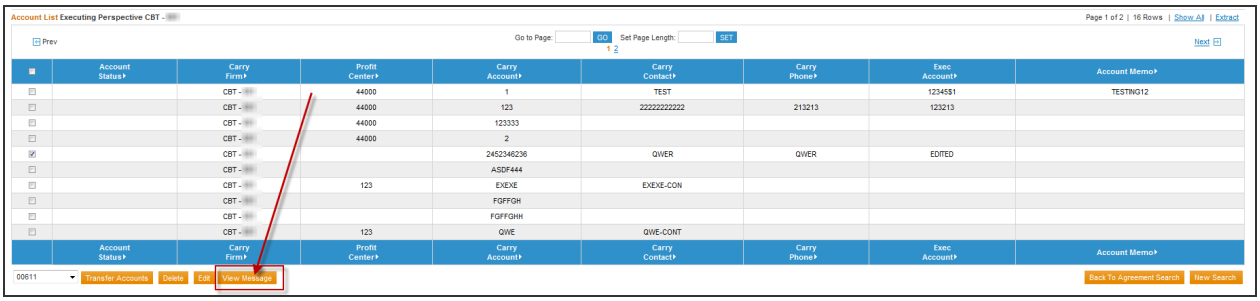
3. Once selected, you will be prompted with an alert message asking “Are you sure you want to delete this account?”
4. If yes, click **OK.** If no, click **Cancel.**

View Messages from the Executing Perspective

Viewing messages allows an executing firm to see who rejected an account, the description, and the date on which the account was rejected.

To view messages:

- Click on the check box next to the line item you wish to view.
- Click **View Message**.

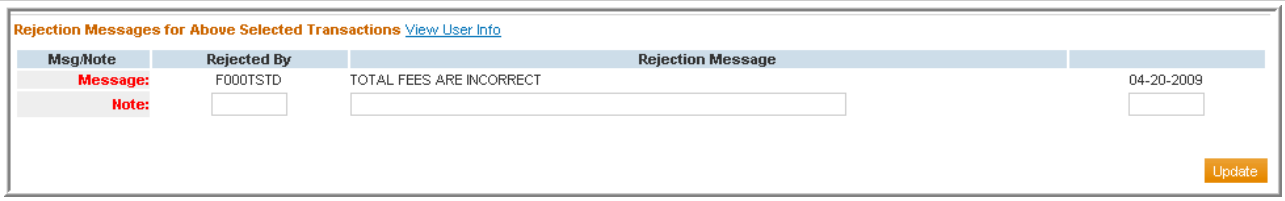


Note: Executing firm can enter notes in order to track changes made to an account. The notes section is for executing firms only. Carrying firms cannot view notes.

To enter a note:

- Type in the text box under the rejection message.
- When complete, click **Update**.

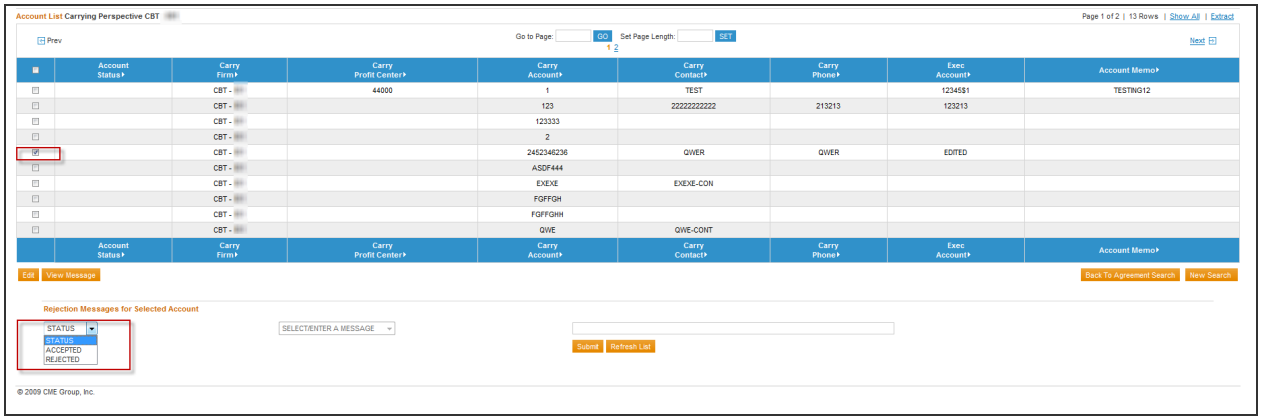
  The **Note by** and **Date** fields will be populated by the system.



Accept/Reject Account (Carrying Firm Perspective Only)

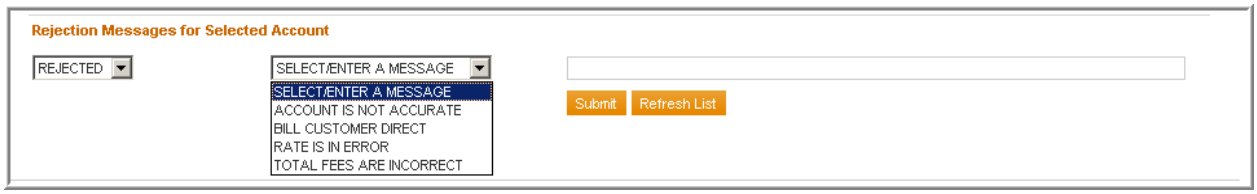
To reject an account where the information is invalid:

1. Click the check box for the account.
2. Select the action you wish to take: **Accepted** or **Rejected**.

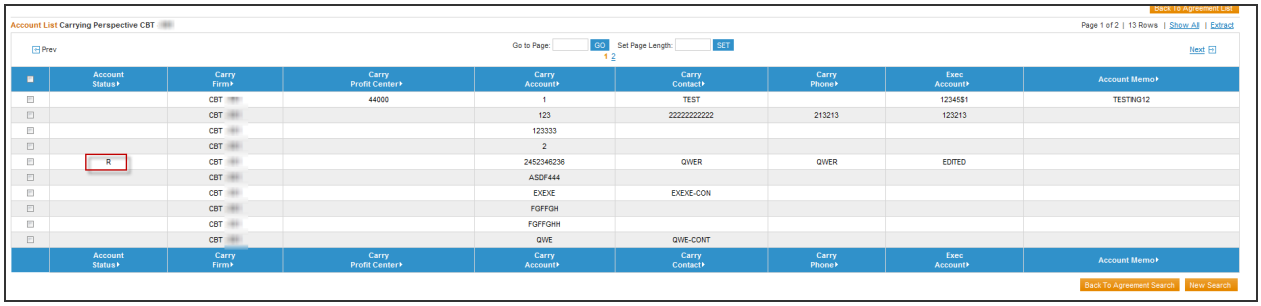


Note: If you select **Rejected**, then you will be prompted to enter either your own message or one of the generic messages from the drop-down list before the account can be rejected. If you select **Accepted**, no message will be required.

3. Click **Submit**.



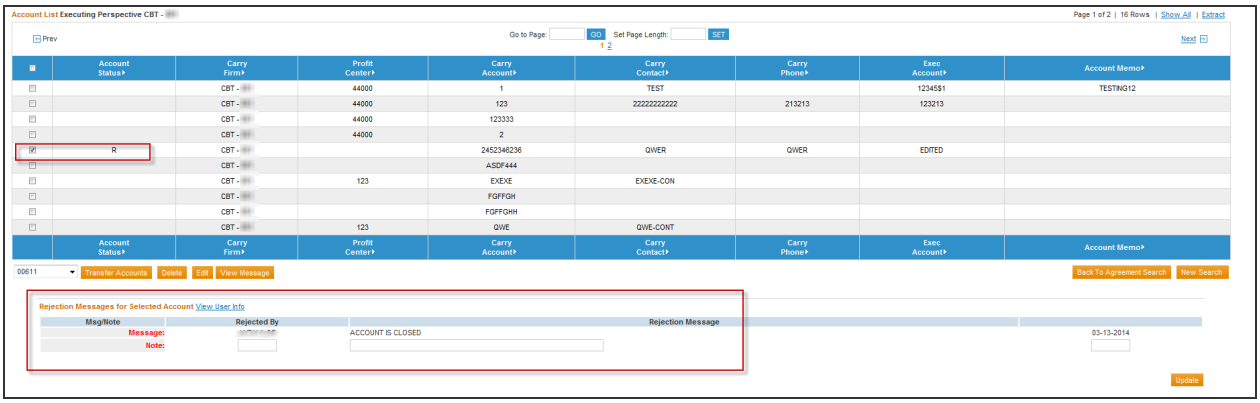
The **Account Status** field updates to “R” for a rejection status, or the “R” is removed if the account has been accepted.



View Messages from the Carrying Firm Perspective Only

To view messages on a rejected account:

1. Check the box of the line item to view.
2. Click **View Messages**.



After selecting the line item you wish to view, you will be able view the message that was entered for the rejected account.

Note: This is a read-only view.

3. To override the message, refer to the Accept/Reject Account topic.

Agreement Business Logic

Define non-tier rate sets within agreements

- Rate sets are defined within agreements.
- An agreement with no rate sets will not price a trade, but can serve as a master pass thru agreement to other agreements that have rate sets.
- Each rate set has an effective date.
- A rate set's effective date cannot precede an agreement's effective start date.
- An agreement with a non-tier rate set cannot be converted to a tiered rate set; a new agreement must be created to support a tiered rate set.

Define tiered rate sets within agreements

- All tiered trades will be priced with a base rate (appears as the "default" rate; default rate applies when trades match accounts, but not the rate criteria)
- A maximum of 5 rate tiers will be allowed per agreement.
- All tiers will have the same rate criteria.
- Tiered rate sets will be effective the first day of the month and expire on the last day of the month selected.
- Editing rates can only be done when the rate set effective date is in the current or a future month; to change a rate set that was effective in a prior month, you must first expire the current rate set, and then create a new one.
- Tiered rates will be calculated at the base (default) rate, and GPS will automatically generate cash adjustments in the amount of the discount during nightly processing.

Define accounts within agreements

- Accounts may or may not be defined within an agreement
- An account must have a carry account value. The carry account must be unique within an agreement.
- You cannot add accounts to an Inter-FCM agreement. You can add accounts to other non-Inter-FCM agreements containing the Inter-FCM executing/carry firm combination. The Inter-FCM agreement only acts as a default when there is no exact match on other agreements.
- Entering data into the profit center field is optional, but if populated, both on an agreement and account level, the account level will take precedence.
- The executing account can also remain blank (i.e., any executing account will match as a default).
- Executing Account, if populated, will be utilized as a pricing criterion.
- The combination of executing and carrying account, along with the two firm numbers, must be unique amongst all agreements. An error message is received if entering a duplicate combination is attempted via the online application.

Carrying Firm – Lock Period

- A carry firm can reject an account at any time. Having an account rejected does not stop pricing, but it does affect that trade's associated payment row (as the nightly batch processing will set the payment records to reject status). However, during the lock-period, trades already priced will not be affected, unless the trades for the payment month are specifically rejected.
- A carry firm can re-accept a previously rejected account at any time. During the lock-period, if rejected trades (that are related to the account in question) are re-accepted prior to the end of the lock period, then those transactions will be re-priced and be removed from the detail disputed column in the payment file.
- A carry firm can also reject a rate set (not an individual rate). This rejection will flag all associated trades. These trades will be labeled as errors during nightly batch processing noting that the rate set cannot be found.
- A carry firm can also re-accept a previously rejected rate set. This re-acceptance will flag all associated trades to be reprocessed for re-pricing during the nightly batch processing. Note that during the lock-period, if rejected trades are re-accepted prior to the end of the lock period, then those transactions will be re-priced.

Executing Firm – Lock Period

- An executing firm is not allowed to change an account's carry/executing account combination during the lock period.
- An executing firm is prevented from deleting an account during the lock period.
- An executing firm cannot change anything on an agreement's account or an agreement's profit center field during the lock period but they can change an agreement's contact name or other indicative fields.
- If an executing firm maintains a rate or a rate set during the lock period then the trades for payment month are not re-priced. Only trades for the non-payment month will be affected.
- If an executing firm adds an account during the lock period then the trades for payment month are not re-priced. Only trades for the non-payment month will be affected.
- An executing firm can delete/undelete trades during the lock-out period.

Other Miscellaneous Logic

- If an executing firm deletes an account, any trade associated with that account is disconnected from that agreement and reconnected to the appropriate agreement in batch processing (or left in an error state) on a nightly basis when outside the lock period.
- Every night, even during the lock period, the payment rows are recalculated.
- Once the month is closed, that month's approved (final priced) trades are locked from subsequent maintenance.

- Trades associated with rejected accounts and/or rate sets are carried over to the next month. This means that if they are corrected after the month is closed, their impact will be reflected in the new month's payment file (as the old month is closed).

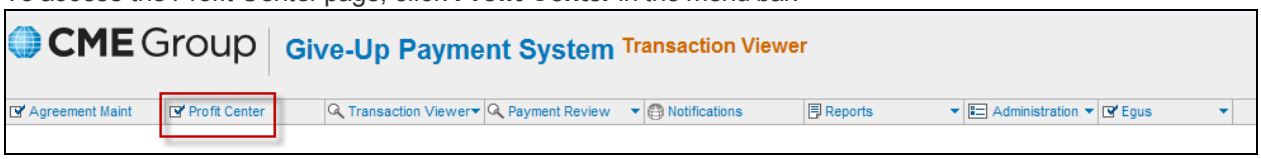
Profit Center

Profit Center allows you to segregate payments by account codes. Banking by Profit Center is an optional field. If populated in the Agreement Maintenance screen it will be utilized when applying debits/credits. Profit Center allows you to add and change profit center data such as banking and routing number information.

The Profit Center identifier is 4 to 10 digits and contains banking information for a firm (i.e. bank account number, routing number).

The Profit Center page only displays for those users who have administrative permissions. An office manager must send an email to Clearing Services to grant access to the Profit Center.

To access the Profit Center page, click **Profit Center** in the menu bar.



Other attributes of Profit Center:

- Online security access may be restricted by Profit Center.
- An Executing Firm can have multiple Profit Centers created for receiving payments.
- A Carrying Firm can have multiple Profit Centers created for sending payments.
- A Profit Center can be added at the agreement or account level. If a profit center is added at the account level, it will supersede profit center information at the agreement level.
- In the event that a Profit Center has insufficient funds, GPS will default to the U.S. clearing firm's bank account.

See the following topics for more information on using Profit Center.:

- Search by Profit Center
- Add Profit Center
- Delete Profit Center
- Edit Profit Center

Search by Profit Center

You can search for all profit centers associated with an executing firm.

To search by Profit Center

1. Enter the three-digit firm id or select the firm from the drop-down list.
2. Click **Search**.

The Profit Center list displays.

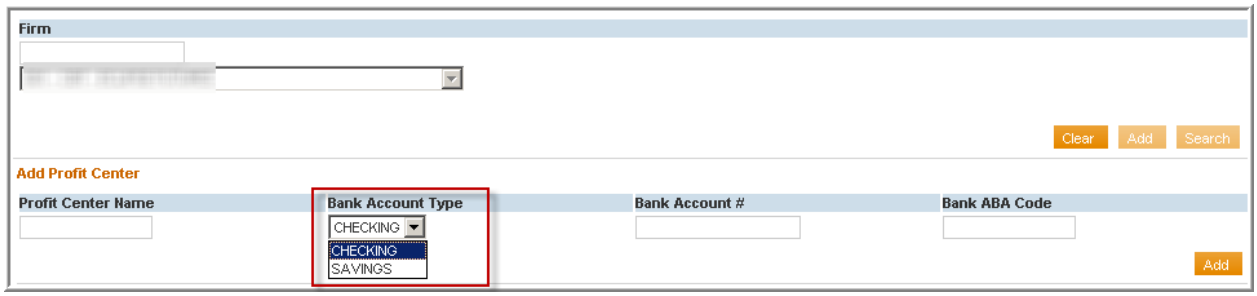
Add Profit Center

You can add a profit center on the Profit Center page.

To add a profit center:

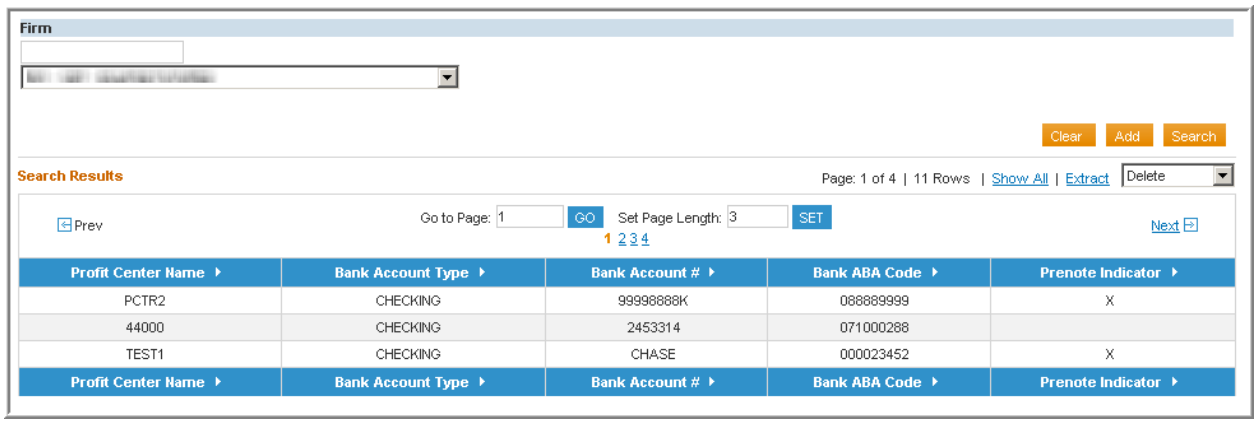
1. Click **Profit Center**.
2. Click **Add**.

3. Provide the following information:
   - Profit Center Name
   - Account Type (Checking or Savings)
   - Bank Account Number
   - Bank ABA code.



5. Click **Add**.

   A confirmation message displays indicating that the profit center has been added.

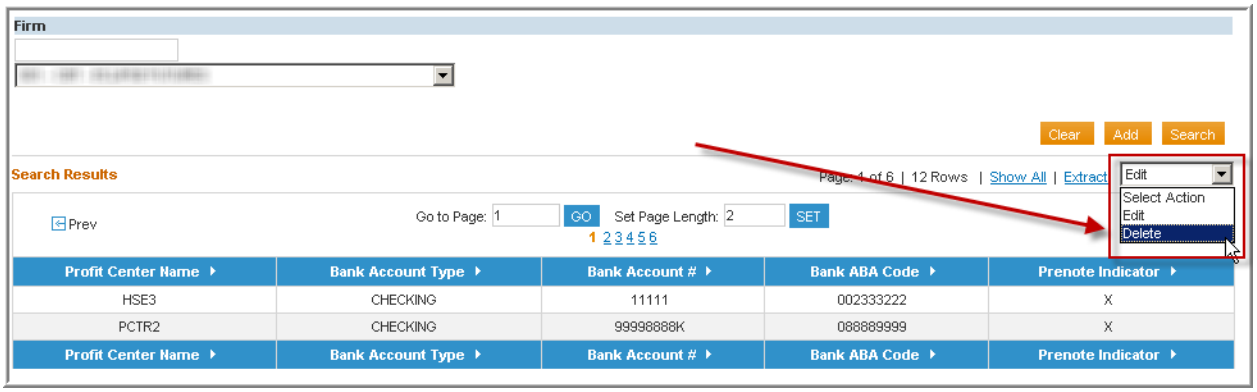


Delete Profit Center

Once you have received a list of profit center search results on the Profit Center page, you can delete profit centers.

To delete a profit center:

1. Search for profit centers.
2. From the **Select Action** drop-down, select **Delete**.
3. Click the line item you wish to delete.



4. A pop-up message displays asking if you really want to delete this Profit Center.
5. Click **OK**.

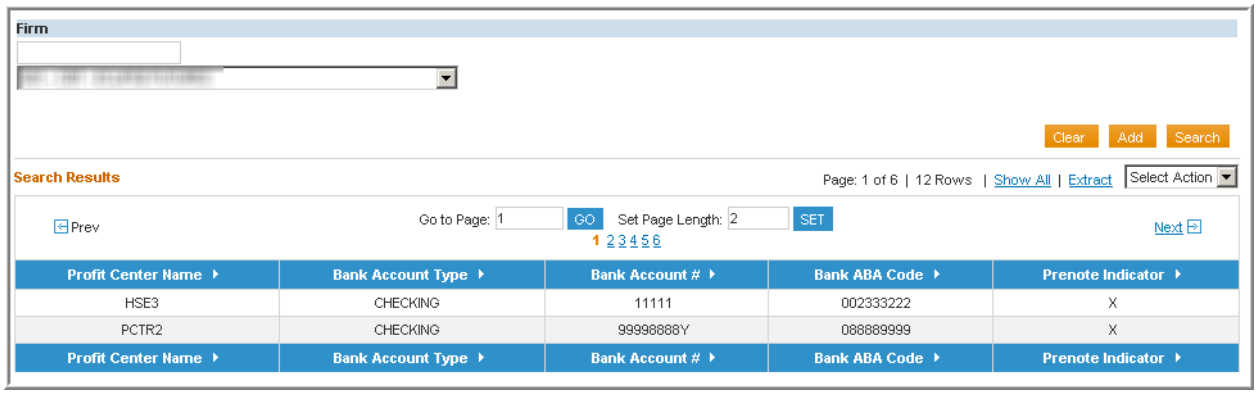
Note: You can only delete a profit center that hasn't been associated with any agreements and/or accounts. If you attempt to do this, an Error message will display.

Edit Profit Center

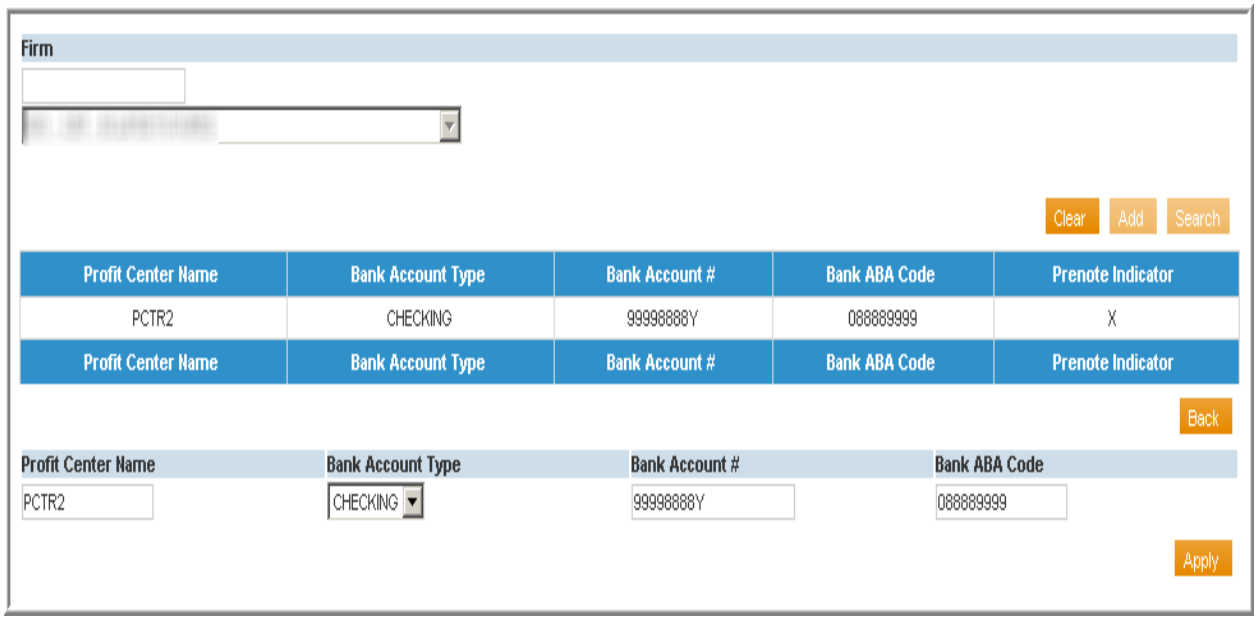
Once you have received a list of profit center search results on the Profit Center page, you can edit profit centers.

To edit a Profit Center:

1. Search for profit centers.
2. From the **Select Action** drop-down, select "Edit."
3. Click the profit center that will be edited.



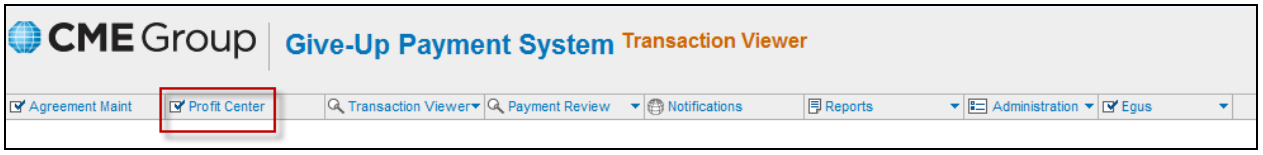
4. Make any necessary changes to the following:
   - Profit Center Name
   - Account Type
   - Account Number
   - ABA Code
5. To update a Profit Center, select the action type Edit, then click on the line item to update.



6. Click **Apply**.
7. A confirmation message displays, "Profit Center Updated."

Note: The Prenote Indicator signals a change has been made to the bank account information.

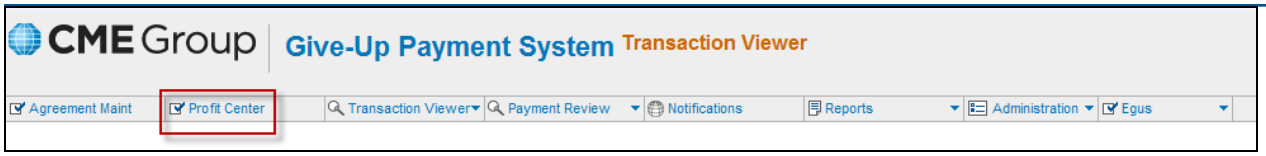
Transaction Viewer



The **Transaction Viewer** tab contains three options:

- View Trades
- Add Trades
- Search for and Create Trade Rules

Transaction Viewer - View Trades



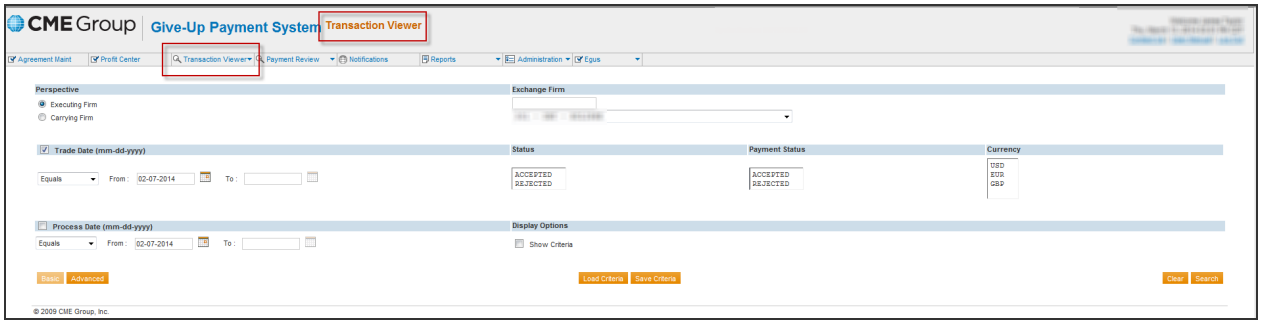
To access the Transaction Viewer window:

1. Select Transaction Viewer option from the menu bar.
2. When you select the Transaction Viewer menu option, you will see three sub-menu options:
   - **View Trades –** Select this option to view trades for the current and prior month.
   - **Add Trades –** Select this option to enter trades.
   - **Trade Rules –** Select this option to search for existing relationships or to create new relationships.

Basic Search

You can search for transactions from the **Transaction Viewer** tab.

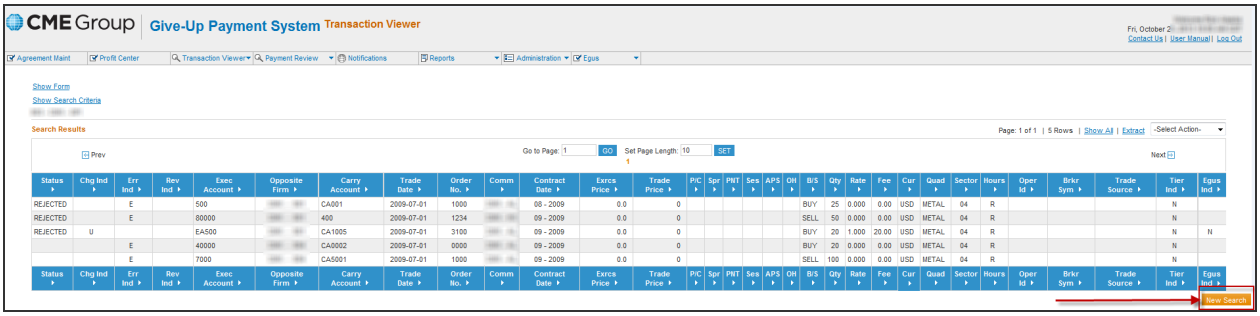
Note: If a specific criterion is not selected when multiple criteria are available, the search will return results for all of the listed criteria. For example, if no selection is made under **Status**, transactions with **Accepted** and **Rejected** statuses will be returned.



To perform a basic search:

1. Select **Transaction Viewer**.
2. Click **View Trades**.

3. Provide the necessary Basic Search Criteria.
4. Click **Search** or proceed to the advanced search.



Results are shown with trade details

Basic Search Criteria

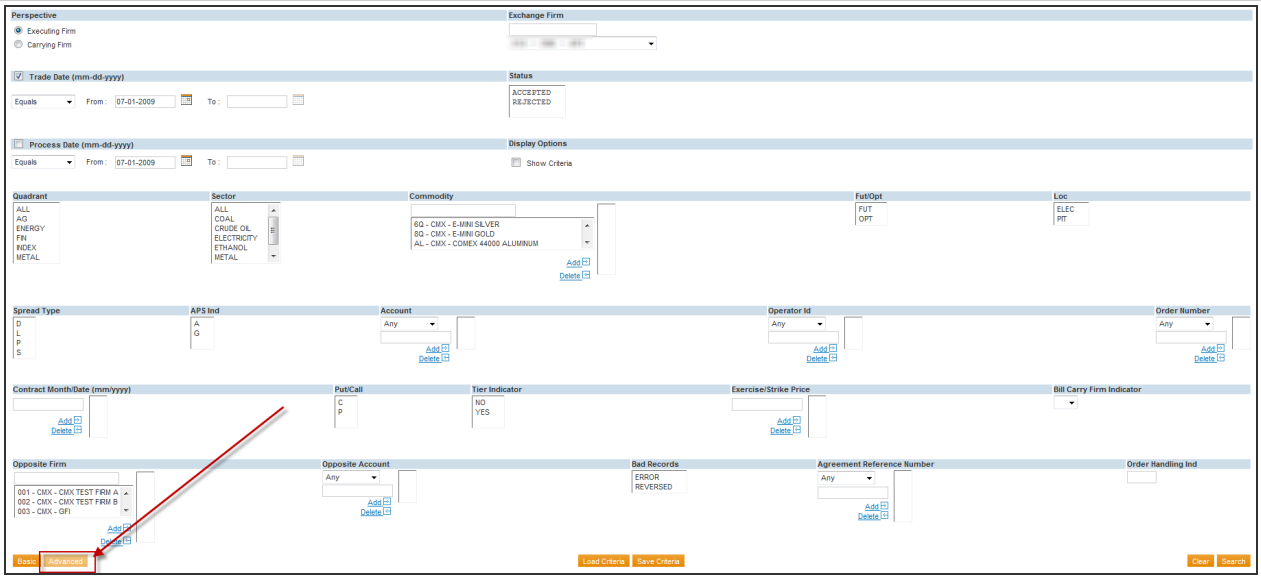
Perspective	(Required) Indicates whether results for executing firms or carrying firms will be returned.
Exchange Firm	(Required) Contains the firms for CME, CBOT and OCC that you have authority to view. Enter either the 3-digit firm id into the text box or make a selection in the drop-down list.
Trade Date	(Required) The date the transaction took place. • **Equals** - allows you to specify one particular day. • **Month to Date** - automatically sets the beginning date to the first day of the current month and the end date to the current day. • **Between** - allows you to specify the beginning and end dates for your date range. Note you can only view two months at a time. • **Last Month** - automatically sets the beginning and end dates to the first and last days of the previous month.
Process Date	The date the trade was last processed in GPS.
Status	(Not required) Indicates whether transactions were Accepted and/or Rejected.
Currency	The currency of the transaction (USD, EUR or GBP).
Show Criteria	(Not required) Show Criteria displays your search criteria above your search results.

Advanced Search

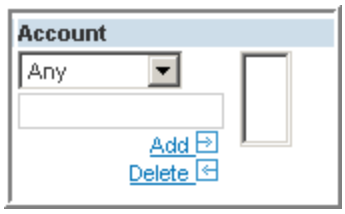
The advanced search for the **Transaction Viewer - View Trades** page consists of additional fields that can narrow search results.

To use the advanced search

1. Click **Advanced**.



2. For each criterion that has the **Add** and **Delete** hyperlinks, make one or more selections and click **Add** or hit Enter.



Note: If a specific criterion is not selected when multiple criteria are available, the search will return results for all of the listed criteria. For example, if no selection is made under **Commodity**, all commodities will be returned in the search results.

3. Some criteria have a drop-down that provides the following options:
   - **Any** allows you to search for all items and is the default selection.
   - **Begins With** allows you to enter the first few numbers and/or letters of the item(s) for which you want to search.
   - **Contains** allows you to enter a string of numbers and/or letters and search for all items that contain that string.
   - **Ends With** allows you to enter the last few number and/or letters of the item(s) fpr which you want to search.
   - **Equals** allows you to enter the exact item for which you want to search; you can also use “equals” to enter multiple accounts so that it works as an “is in” option.
4. Click **Search**.
5. Results are displayed with trade details.

Advanced Search Criteria

The Advanced Search contains the following fields:

- **Quadrant** - A group of related contracts traded on a given Exchange. If selected, all contracts in that group will be displayed. Quadrant selections, by Exchange, are described below:

CME Quadrants	CBOT Quadrants	NYMEX/COMEX Quadrants
CMEAM: Auction Markets	AG: Agricultural	AG: Agricultural

CME Quadrants	CBOT Quadrants	NYMEX/COMEX Quadrants
AGS: Agricultural	FIN: Financial	COMMDTY: Commodity
INDX: Index	INDEX: Index	ENERGY: Energy
INT: Interest Rate		FIN: Financial
CURR: Currency		INDEX: Index
		METAL: Metal
		GREEN: Green

- **Commodity** - Exchange code (2 or more bytes) used for Clearing. The commodity list will contain the commodity codes from CME, One-Chicago, the Chicago Futures Exchange (CFE), the Philadelphia Board of Trade (PBT) and the CBOT. You may select one or multiple commodities (the commodity list includes the commodity code, the exchange, and the commodity name). If you enter the commodity code into the text box, the list automatically scrolls to the commodity that most closely matches the entered text.
- **Sector** - The sector of a commodity (AGS=01, CURR=02, EMINI=05, ETF=09 etc).
- **FUT/OPT** - Futures (FUT) and/or Options (OPT).
- **Loc** - Location: Open Outcry (PIT) and/or Electronically (ELEC).
- **Spread Type** - Spread type.
  - **D** = Differential Spreads
  - **L** = Legged Spreads
  - **S or 6** = Spread
  - **P** = PIT Trade
- **APS Ind** - Average Price System (APS) Indicator.
  - **A**= Average Price System trade
  - **G or blank** = Give-Up trade
- **Account** - Account number of the executing firm or carrying firm. Depends on which perspective is being used.
- **Order Number** - Order number. Also known as the executing firm's card (order number).
- **Contract Date/Month** - Contract date in the following format: **MM/YYYY**.
- **Put/Call** - Put and/or Call.
- **Tier Indicator** - Indicates whether the rates assigned to the trade are tiered or not.
- **Exercise Price (Strike Price)** - Exercise/Strike price. The price at which the option buyer may purchase or sell the underlying futures contract upon exercise. Futures contracts will not have this price populated within the trade details.
- **Bill Carry Firm Indicator**
  - **Y** = trade associated with agreement that is billable through GPS.
  - **N** = trade associated with a third party agreement.
- **Opposite Firm** - The 3-digit FirmId of the executing firm or carrying firm. The perspective option drives whether this is the executing firm or the carrying firm. For example, if your perspective is executing, the opposite firm will represent the carrying side.

- **Opposite Account** - The perspective option drives whether this is the executing firm or the carrying firm. For example if your perspective is executing, the opposite account will be a carrying account.
- **Bad Records** - Indicates Error or Reversed records. Error records are records that are in an error state due to a lack of either rate set or an account definition within the system. Reversal records are records submitted through GPS that reverses give-ups that were allocated or claimed in error.
- **Agreement Reference Number** - Indicates that the trade is associated with a specific agreement or agreements.
- **Order Handling Ind** - Indicates that the trades have the order handling indicator.

Viewing or Modifying Search Criteria

To view the search criteria you have selected:

1. Click the **Show Transaction Viewer** hyperlink at the top of the page above the Transaction Details result set.

   The search form will then be displayed above the search data and you can view the criteria you have selected.
2. You can also modify the search criteria and then click **Search** to execute the search and obtain new data based on the modified criteria.
3. To re-hide the search form, select the **Hide** hyperlink.

Additional Features

To clear all search criteria that you have selected:

1. Click **Clear** at the bottom of the search form.
2. To switch back to the Basic Search form, click **Basic** at the bottom of the search form.
3. Once you have defined all of the search criteria, click **Search** to execute the search and retrieve the data.

Trade Detail Field Descriptions

The search results from the **Transaction Viewer - View Trades** basic/advanced search will include the following fields.

Field	Description/Value
Status	**Rejected** = Transactions that have been rejected by the carrying firm **Blank** = Acts as an implied acceptance of the transactions by the carrying firm **Deleted** = Transactions that were deleted by the executing firm, this status will only exist for the day in which the trades were marked for deletion.
Change Indicator	**C** = Indicates an account change, this will be on the new record, with the newly associated account. **O** = Indicates that the record will no longer exist for calculation/payment purposes. **X** = Indicates that the executing firm deleted a rejected trade. **D** = Indicates that the executing firm has marked this trade for deletion. **U** = Indicates that the rate set and/or account has been rejected by the carrying firm. This indicator is for nightly batch pricing to un-price the transaction. **B** = Indicates that Batch Changed (i.e., due to re-pricing) **Blank** = no changes made to the transaction
Error Indicator	**E** = Trades that were not priced due to a lack of either rate set or account definitions.

Field	Description/Value
	Blank = Trades were priced
Reverse Indicator	**R** = indicates reversal records that were allocated or claimed in error.
Executing Account	The account number in which the trades were executed.
Opposite Firm	Contains the exchange (CME, CBOT, or OCC) and the 3-digit firm id of the firm to whom the trade was given up.
Carrying Account	Contains the account number to which the trade was given up to.
Trade Date	The date the trade was executed.
Order Number	Also known as the executing firm's card or order number.
Commodity	The exchange code (two or more bytes) used for Clearing. The detail will provide the exchange (CME, CBOT or OCC) and the commodity code within a single field.
Contract Date	The contract's month and year in the following format: **MM/YYYY**.
Exercise Price	(Options Only) The price at which the option buyer may purchase or sell the underlying futures contract upon exercise.
Trade Price	The price at which the trade was executed.
Put/Call	**Blank** = Future **P** = Put **C** = Call
Spread	**D** = Differential Spreads **L** = Legged Spreads **S or 6** = Spread **Blank** = PIT Trade
PNT	**B** = Block Trade **E** = EFP Trade (Exchange for Physical) **N** = EFR Trade (Exchange for Risk) **T** = EFS Trade (Exchange for Swap) **O** = OPNT(Old Privately Negotiated Trade) ***C** = RFC (Request for Cross) **Note:** RFC's are handled as a PNT for GPS pricing purposes only.
Session	**D** = Day **E** = Evening **G** = GLOBEX
APS Indicator	**A** = Average Price System trade **G or Blank** = Give-Up Trade.

<table>
<tr><th>Field</th><th>Description/Value</th></tr>
<tr><td>Order Handling Indicator</td><td>Current definitions as defined by the FIA:
A = Phone simple
B = Phone complex
C = FCM-provided screen
D = Other-provided screen
E = Client-provided platform controlled by FCM
F = Client-provided platform direct to exchange
G = FCM API or FIX
H = Algo Engine
J = price at Execution (price added at Initial order entry, trading, middle office or time of give-up)
W = Desk - Electronic
X = Desk - Pit
Y = Client - Electronic
Z = Client - Pit</td></tr>
<tr><td>Buy/Sell Indicator</td><td>B or 1 = Buy
S or 2 = Sell</td></tr>
<tr><td>Quantity</td><td>The number of contracts bought or sold</td></tr>
<tr><td>Rate</td><td>The trade’s rate which is based on the agreement’s account definition.</td></tr>
<tr><td>Fees</td><td>The fee amount to be paid for this trade. Automatically calculated by the Nightly Batch Process by multiplying the rate times the number of contracts.</td></tr>
<tr><td>Quadrant</td><td>A group of similar or related products on a given exchange. Valid quadrants are:
<table><tr><th>CME</th><th>CBOT</th><th>NYMEX</th><th>COMEX</th></tr><tr><td>INT</td><td>AG</td><td>ENERGY</td><td>METAL</td></tr><tr><td>INDX</td><td>INDEX</td><td>AG</td><td>AG</td></tr><tr><td>AGS</td><td>FIN</td><td>GREEN</td><td>ENERGY</td></tr><tr><td>CURR</td><td></td><td>FIN</td><td>FIN</td></tr><tr><td></td><td></td><td>INDEX</td><td>INDEX</td></tr><tr><td></td><td></td><td>METAL</td><td></td></tr></table></td></tr>
<tr><td>Sector</td><td>Commodity grouping assigned by Clearing (for example: AGS=01, EMINI=05, CURR=02, etc.)</td></tr>
<tr><td>Trade Hours</td><td>R = RTH: Regular Trading Hours for Open Outcry (Pit Trading)</td></tr>
</table>

Field	Description/Value
	E = ETH: Electronic Trading Hours for CME Globex
Operator ID	Also known as the "Tag 50" used for the CME Globex trading platform to identify the individual (or trading group) executing the trade.
Broker Symbol	Three-character symbol assigned to broker.
Tier Ind	**Y** = Yes, rates are tiered; **N** = No, rates are not tiered.
Egus Ind	**Y** = is from an Egus agreement **N** = from a regular GPS-based agreement

View Agreements, Rates, Messages, and Notes

After performing a basic or advanced search, you can view agreements, rates (executing firms only), messages, and notes for the trades displayed in the result set.

View Agreements

To view agreements:

1. Select **View Agreement** from the drop-down:
2. Click the trade.

   You will be redirected to the **Agreement Maintenance** page.

   To return to the trade details:
3. Click **Transaction Viewer**.
4. Click **View Trades**.

View Rates

To view rates (Executing Firms only):

1. Select **View Rates** in the drop-down:
2. Click the trade.

   You will be redirected to the **Agreement Maintenance** page.

   To return to the trade details:
3. Click **Transaction Viewer**.
4. Click **View Trades**.

View Messages and Notes

View messages and notes for information on why a transaction was rejected by the carrying firm.

To view messages and notes:

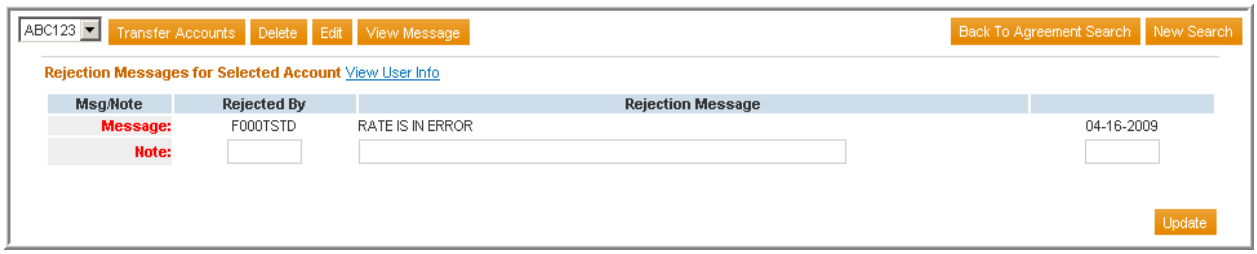
1. select **View Messages** from the drop-down.
2. Click the trade that has been rejected.

   You can then preview the message entered by the carrying firm.

Note: The message contains who rejected the transaction, the reason it was rejected, and the date it was rejected.

Note: The executing firm has to wait until the carrying firm re-accepts the transaction. The executing firm can leave notes indicating that they have addressed the issue with that particular transaction.

3. To leave a note, enter the text in the **Note** text box.

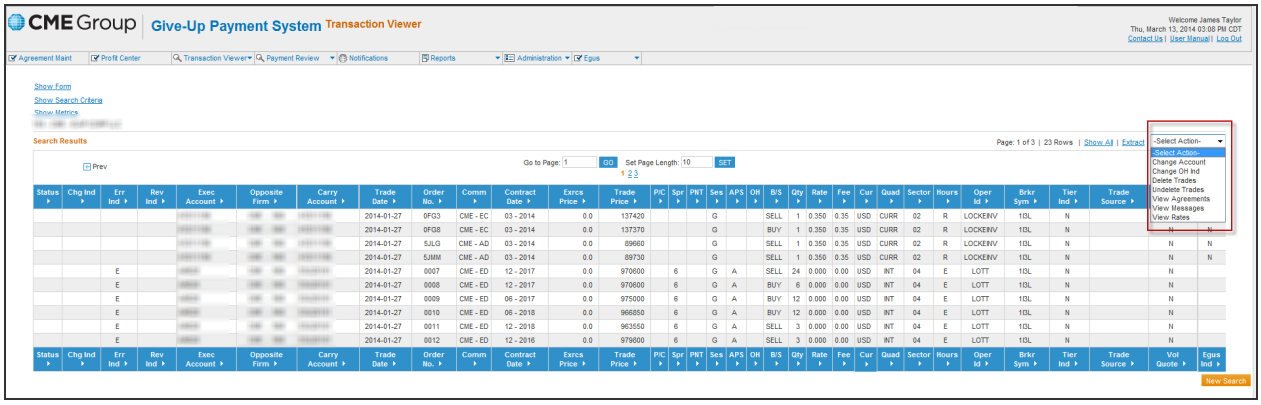


Click **Update**.

Trade Detail - Executing Perspective

After performing a search, executing firms can perform the following actions on result sets:

- Change Account
- Delete Trades
- Undelete Trades
- View Agreements
- View Messages
- View Rates

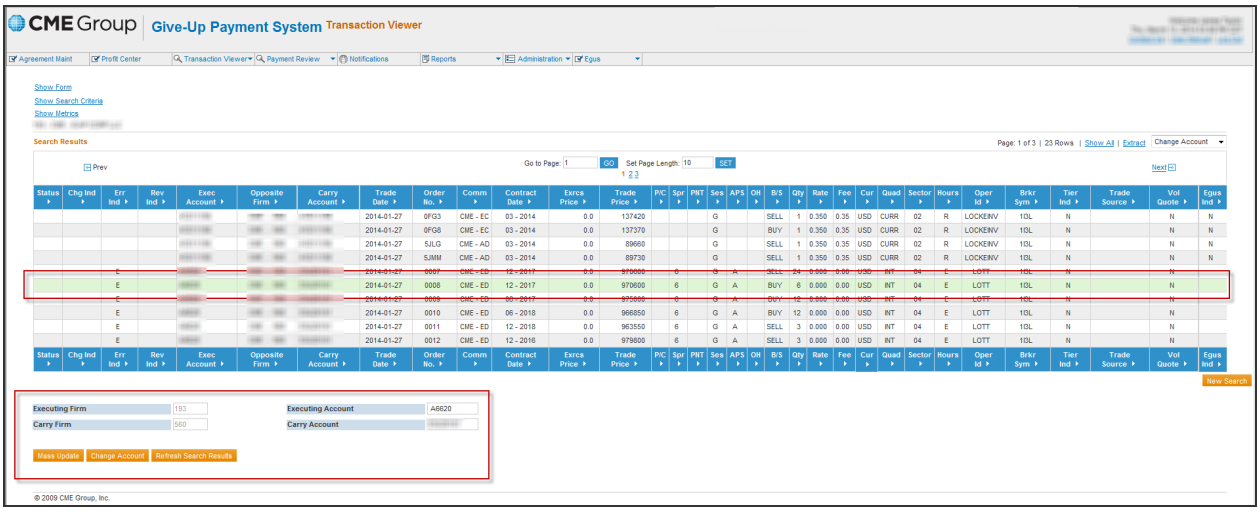


Change an Account (Executing Firms)

After performing a basic or advanced search in the Executing Firm perspective, you can change the executing account or carrying account listed for a trade.

To change an account:

1. Select **Change Account** in the drop-down.
2. Click the trade.
3. Update the executing account and/or the carrying account.
4. Click **Change Account** or skip to the next step to perform a mass update.



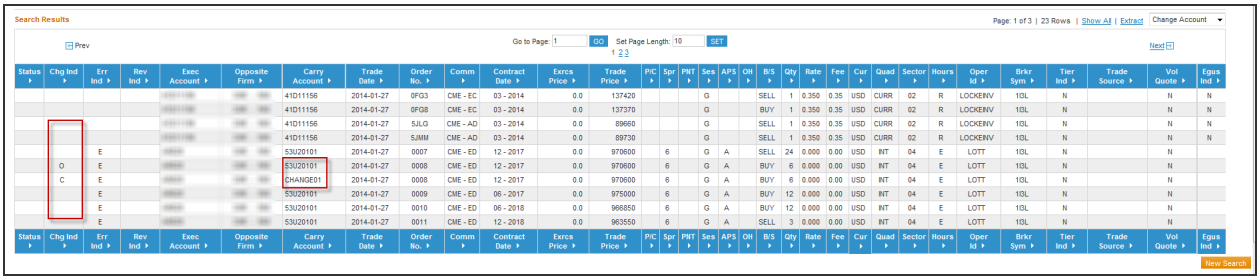
5. To change all records that contain that executing firm, executing account, carrying firm, and carrying account combination, click **Mass Update**.

   GPS will display a count of how many transactions are to be updated prior to performing the action.

   A confirmation message displays indicating what has changed.

6. Click **OK**.

   In the change indicator field, the old record contains an indicator of “O” and the new record contains an indicator of “C”.

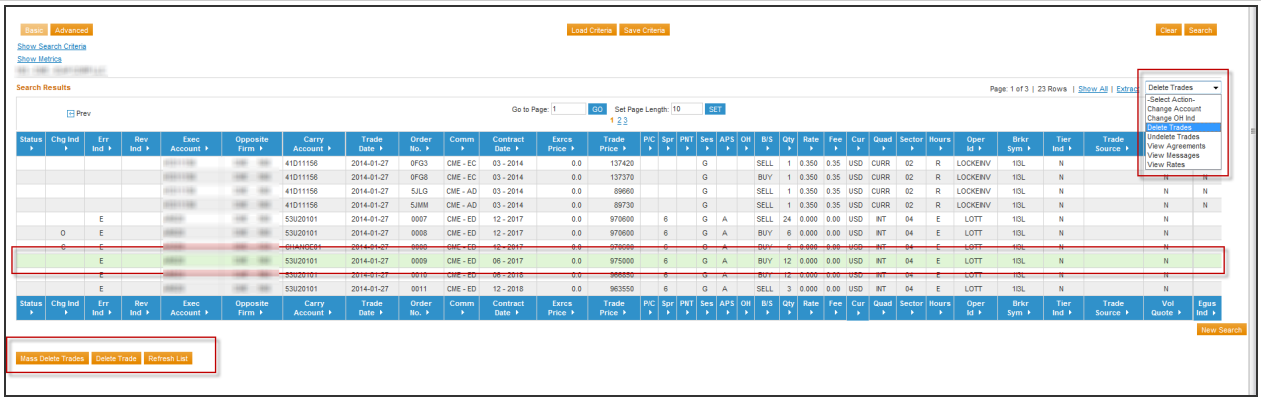


Delete a Trade (Executing Firms)

After performing a basic or advanced search in the executing firm perspective, you can delete trades during both the lock and un-lock periods.

To delete a trade:

1. Select **Delete Trades** from the drop-down.



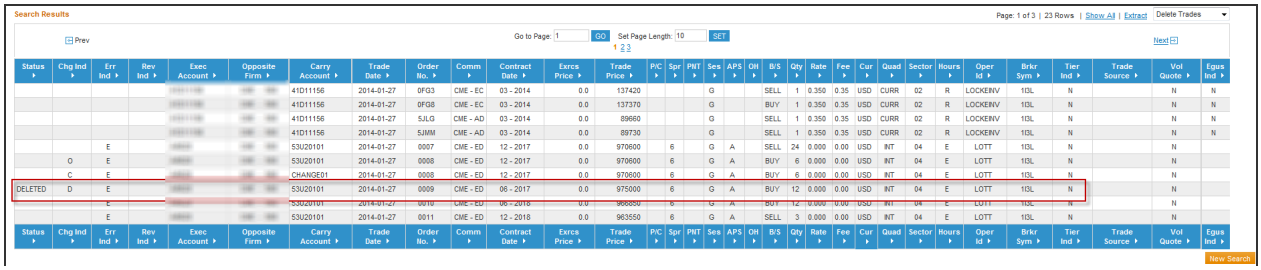
2. Click the trade.

Note: You will not receive a prompt asking if you want to delete the item. You can use the undelete feature as needed.

3. Click **Delete Trade**.

   A confirmation displays, indicating that the trade has been deleted.

4. Click **Refresh List** to update the search results list.



In the **Change Indicator** field, the deleted record contains a "D" and the **Status** field contains "Deleted."

Undelete a Trade

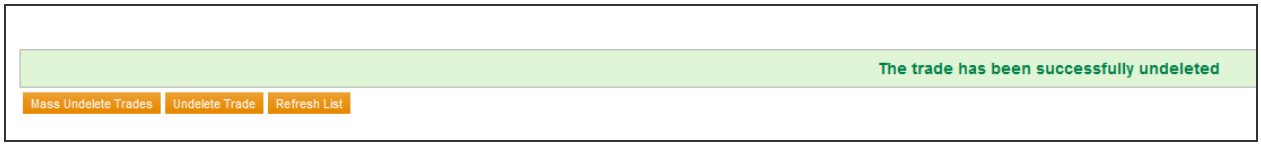
After performing a basic or advanced search in the executing firm perspective, you can undelete trades during both the lock and un-lock periods.

To undo a trade that was just deleted:

1. Select **Undelete Trades** in the drop-down.
2. Click the trade.
3. Click **Undelete Trade**.

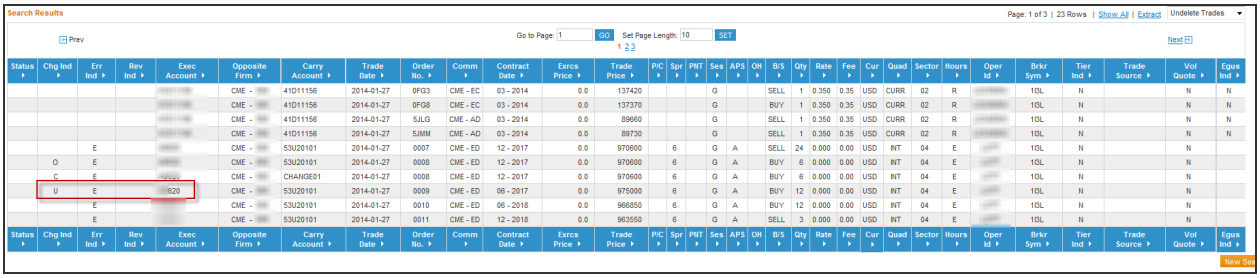
Note: This feature only works on transactions that were deleted that day. The next business day, trades marked for deletion will have been removed.

A confirmation appears indicating that the trade has been undeleted.



4. Click **Refresh List** to update the search results list.

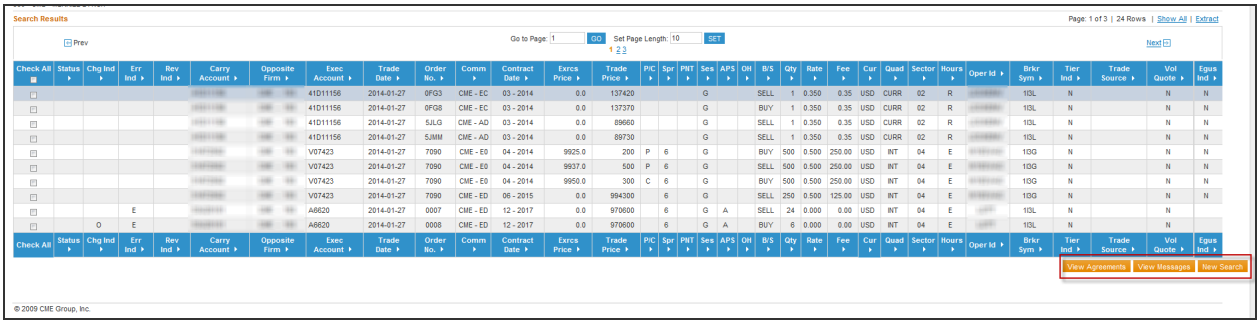
The **Status** field appears blank, and the **Change Indicator** changes to 'U' (undeleted), which indicates an implied acceptance of the transaction.



Trade Detail - Carrying Perspective

After performing a search, carrying firms can perform the following actions on result sets:

- View Agreements
- View Messages
- Reject Trades
- Accept Trades



Reject & Accept Trades (Carrying Firms)

After performing a basic or advanced search in the Carrying Firm perspective, you can reject or accept trades.

To reject or accept a trade:

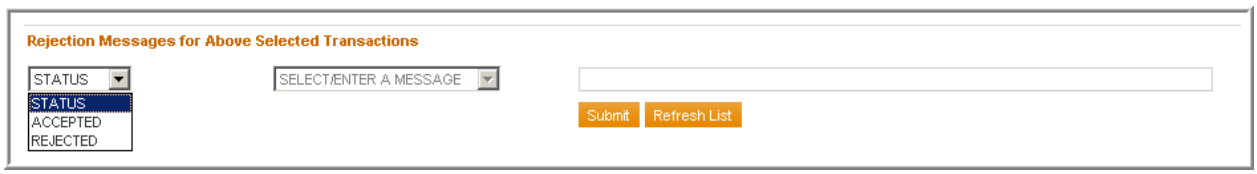
1. Select the check box of the trade(s).

   To select all rows, click **Check All**.

   Note: This will only select the rows that are being currently viewed. For example, if three rows appear on the screen, all three rows will be checked. If 10 rows appear on the screen, all 10 rows will be checked.

2. Select "Accepted" or "Rejected" in the drop-down.

Note: Carrying firms can only accept trades that were previously rejected.

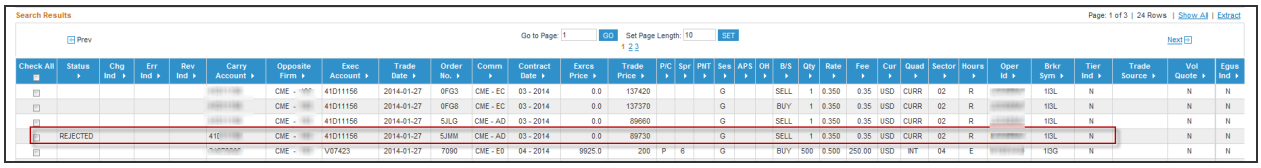


For rejections, you will be prompted to enter a message.

3. Click **Submit**.

   A confirmation message displays, indicating that the transactions were rejected or accepted.

Note: The Status Code is now labeled as Rejected



For accepted trades, the Status Code will be blank, which indicates an implied acceptance.

Business Rule Logic

Trade Deletions (Executing Firms)

1. An executing firm cannot delete a trade during the lock period (8th through 15th business day) for that trade cycle.
2. Outside the lock period, an executing firm can delete a trade under the following conditions:
   - If the **Change Indicator** is blank, and the **Status** code is either blank or rejected, the application will set the **Change Indicator** to “D” for deleted.
   - If the **Change Indicator** is “C“ for change account and the **Status** is either blank or rejected, the application will set the **Change Indicator** to “X” for a deleted rejected transaction.

Trade Un-Deletes (Executing Firms)

Deleted trades are removed during the nightly batch processing cycle, but until the next processing cycle, an executing firm can “un-delete” a deleted trade. The following rules apply when trades are un-deleted:

- If the trade is not within its lock period:
  - If the **Change Indicator** is “D” (deleted) and the **Status** is either blank or rejected, the application will set the change indicator to “U” to indicate that a modification was made to the trade and it will be re-priced to ensure accuracy.
  - If the **Change Indicator** is “X” for a deleted rejection and the **Status** is either blank or rejected, the application will set the **Change Indicator** back to “C”, to indicate an account change.
- If the trade is within its lock period: (Only Rejected Trades can be modified by Executing Firms)
  - If the **Change Indicator** is “D” (deleted) and the **Status** is “R” (rejected), then the application will set the **Change Indicator** back to blank.
  - If the **Change Indicator** is “X” (deleted rejection) and the **Status** is “R” (rejected transaction), then the application will set the **Change Indicator** to “C” to indicate an account change.

Trade Change Accounts (Executing Firms)

1. If the executing firm changes any other portion of the trade row (e.g., the carry account) a copy of the trade is created by cloning the original row, and placing a “C” in the **Change Indicator** column to indicate there has been an account

change and to notify the system to re-price the transaction.

2. When a change to an account happens, the original row's **Change Indicator** column is set to "O" to signify that it is an old record. "O" records, once created, cannot be further updated or deleted.
3. If the trade is within its lock period, the executing firm can't maintain the trade unless it also has been rejected by the carrying firm.

Trade Acceptance/Rejected (Carrying Firm)

1. Carrying firms can reject transactions. Those transactions that are rejected require a message in order for the executing firm to determine why the trade was rejected. Rejected trades will have a trade status code of Rejected.
2. Carrying firms can also accept rejected trades. The only trades that can be accepted are those whose trade status code is listed as rejected. Once accepted, the trade status is simply reset back to blank.

Intraday Processing

1. If the **Change Indicator** = "U" or "C," the nightly calculator will attempt to re-price and set the **Change Indicator** to "B" (Batch). If re-pricing is successful, the calculator will set the error code to blank (as well as fill in the respective pricing fields). Otherwise, the calculator sets the error code to "E" (error) and zeroes out the price fields.
2. Intraday Processing takes place three times during the day.

Nightly Batch Processing

1. Nightly batch will delete any trades whose **Change Indicator** code = "D", "O" or "X".
2. Nightly batch processing will also delete reversal records after they have been made available to the firms to view for one day only.
3. If the **Change Indicator** = "U" or "C," the nightly calculator will attempt to re-price and set the change indicator to "B" (Batch). If re-pricing is successful, the calculator will set the error code to blank (as well as fill in the respective pricing fields). Otherwise, the calculator sets the error code to "E" (error) and zeroes out the price fields.
4. Final Month-End Processing
   - On business day 15, all approved trades for the month get closed.
   - Trades in error or rejected (as a trade or as part of a payment rejection) are carried over for one month. If still in an error state after a month, these trades will be deleted.

Transaction Viewer - Add Trades

Executing firms may manually enter trades that were not captured via ACS (Allocated Claim System). For example, the following trades are examples of trades that may not be captured:

- CMTA (Clearing Member Transfer Agreement) - give-up trades that are passed to the carrying firm via a paper order ticket.
- Trades cleared in error which were not correctly designated as give-ups and resulted in a firm-to-firm transfer.

See the following topics on **Transaction Viewer - Add Trades** for more information:

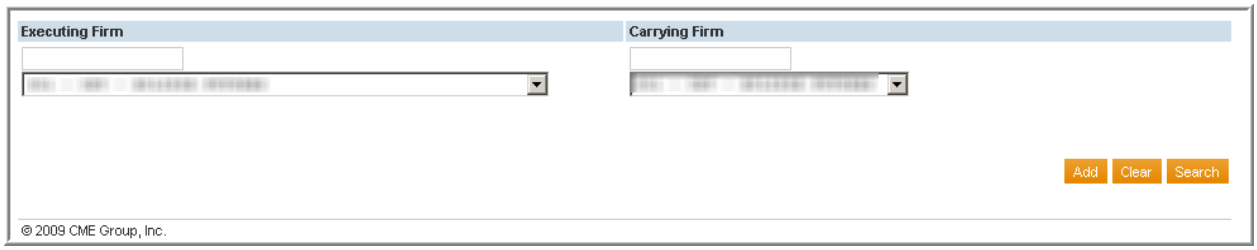
- Accessing and Adding Trades
- Input Field Descriptions
- Add Trades - Search

Accessing and Adding Trades

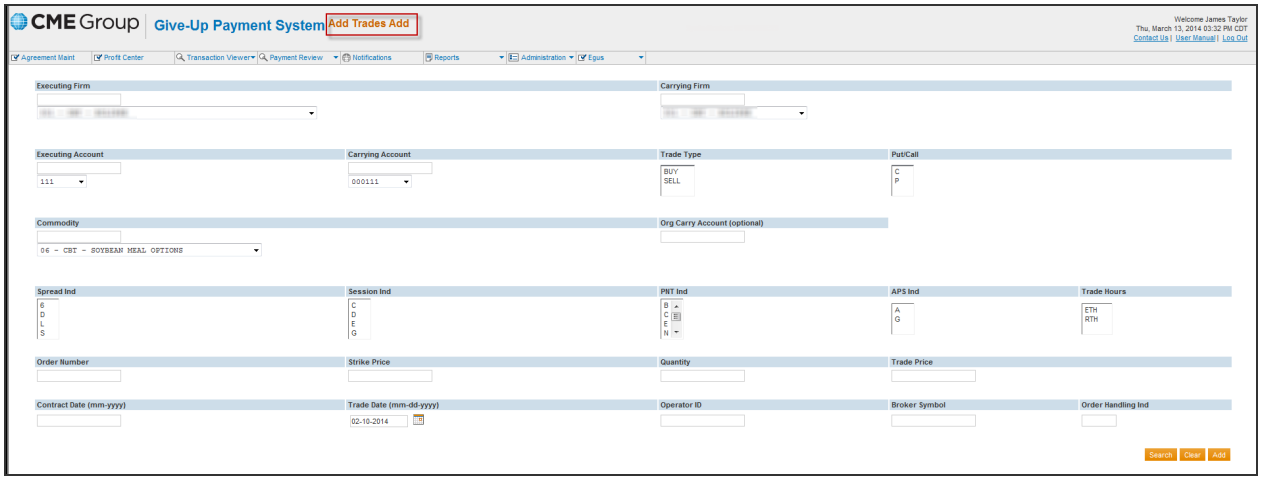
To access and add trades:

1. Select **Transaction Viewer**.

2. Click **Add Trades**.
3. Click **Add**.



4. Select the: **Executing Firm** and **Carrying Firm**.
   - **Executing Firm**
   - **Carrying Firm** - This field is synonymous with opposite firm.



5. Click **Add**.

Note: These trades will not display in the "View Trades" section until nightly batch processing formats/prices these trades with the other give-up transactions. Once processed, they will be flagged with the trade source indicator of "G" to indicate from where these trades originated. These trades will also be removed from the "Add Trades" pages, once processed.

Input Field Descriptions

Field	Description
Executing Account	(Required) Select predefined executing accounts based on the executing and carrying firm combinations selected. Or enter an account that has not been predefined.
Carrying Account	(Required) Select predefined carrying accounts based on the executing and carrying firm combinations selected. Or enter an account that has not been predefined.
Buy/Sell Indicator	(Required) Indicates buy or sell.
Put/Call	(Required for Options) Put or Call indicator. If no selection is made, the GPS will process this as a Futures transaction.

Field	Description
Commodity	(Required) Exchange code (minimum of 2 bytes) used for clearing. The commodity list will contain the commodity codes from CME, CBOT, CFE, One-Chicago and PBT. If no commodity is selected, the first item in the list will be used by default.
Org Carry Acct (Original Carry Account)	The account specified on the original trade that was given-up. If left blank, the Carrying Account value that was selected (or entered) will be listed in this field as well.
Spread Indicator	Spread Type: • **D** = Differential Spreads • **L** = Legged Spreads • **S** or **6** = Spread • **P** = PIT Trade
Session Indicator	Session indicator. • **D**= Day • **E**= Evening or G=GLOBEX
PNT Indicator	EFP type: • **B**=Block Trade • **E**= EFP Trade (Exchange for Physical) • **N**= EFR Trade (Exchange for Risk) • **T**= EFS Trade (Exchange for Swap) • **O**= OPNT (Old Privately Negotiated Trade) • **C**= RFC (Request for Cross)
APS Indicator	APS Indicator. • **A** = Average Price System trade • **G** or **Blank** = Give-Up Trade
Order Number	(Required) The executing firm's card (order number).
Exercise Price (Strike Price)	(Required) A required field if a put or call indicator has been specified. If the "added trade" is a futures transaction, this field will contain zeroes.
Quantity	(Required) Quantity.
Trade Price	(Required) Trade price.
Contract Date/Month	(Required) Contract Date in MM/YYYY format.
Trade Date	(Required) Trade Date in MM/DD/YYYY format.
Operator ID	CME Globex "Tag 50" identifier. Identifies traders that are registered and authorized to trade for the firm.
Broker Symbol	When available, displays three-character symbol assigned to broker.

Field	Description
Trade Hours	Indicates whether the trade took place during: • **RTH** - (Regular Trading Hours for Open Outcry (Pit Trading)) • **ETH** - (Electronic Trading Hours for CME Globex)
Volatility-Quoted Options Indicator	Volatility-Quoted Options Indicator. Blank indicates either yes or no; blank can match anything in the search.
Order Handling Ind	Order handling indicator.

Add Trades - Search

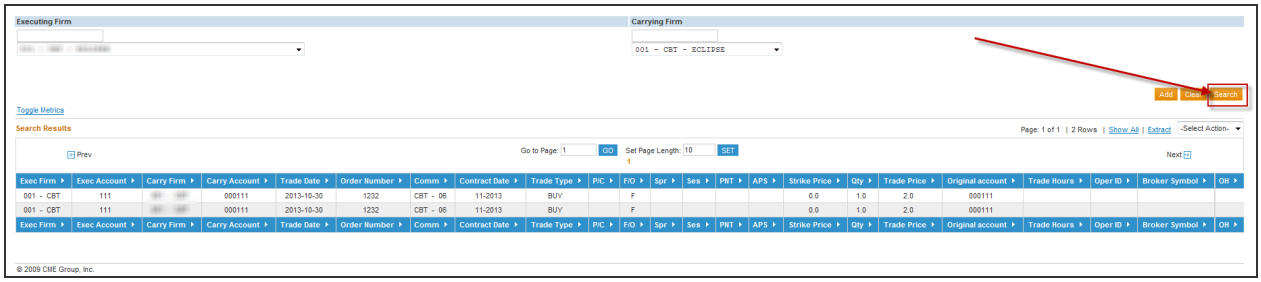
You can search for trades from the **Add Trades** page.

To perform a search:

1. Select **Transaction Viewer**.
2. Click **Add Trades**.
3. Make a selection in the **Executing Firm** drop-down.
4. Make a selection in the **Carrying Firm** drop-down.

   Note This field is synonymous with opposite firm.

5. Click **Search**.



Transaction Viewer - Trades Rules

On the **Transaction Viewer - Trade Rules** page, you can set rules for automatic translation of executing firm and carrying firm account numbers.

For example, Executing Firm 123 might execute all orders for Carrying Firm 987 in account 2222222; however, at the firm's discretion, the ultimate give-up account for a given type of transaction might be account 3333333. Likewise, the receiving account at Carrying Firm 987 might be 999999, but the ultimate account destination might be 4444444.

- Adding Trade Rules
- Accessing Trade Rules
- Deleting Trade Rules

Adding Trade Rules

You can set rules to associate an executing firm with a carrying firm on the **Trade Rules** page..

To add trade rules:

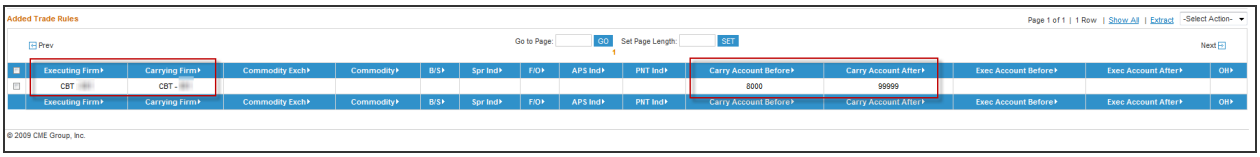
1. Select **Transaction Viewer**.

2. Click **Trade Rules**.
3. Make a selection in the **Executing Firm** drop-down.
4. Make a selection in the **Carrying Firm** drop-down.
5. Click **Add**.

In this screen, the **Executing Firm** and **Carrying Firm** selections appear.

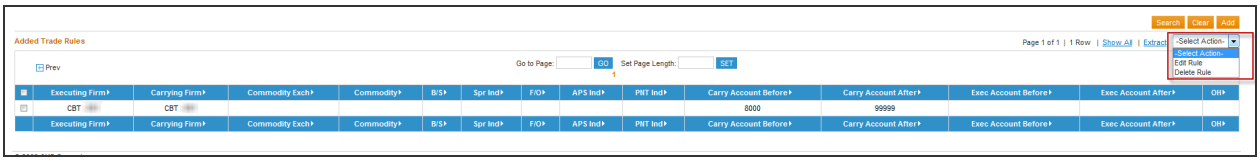
6. Enter an account number in the **New Carrying Account** field.
7. Enter an account number in the **New Executing Account** field.
8. Click **Add**.

The following screen appears.

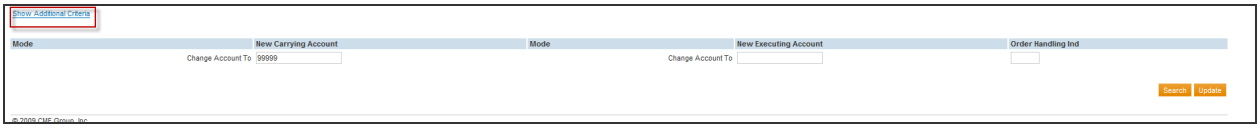


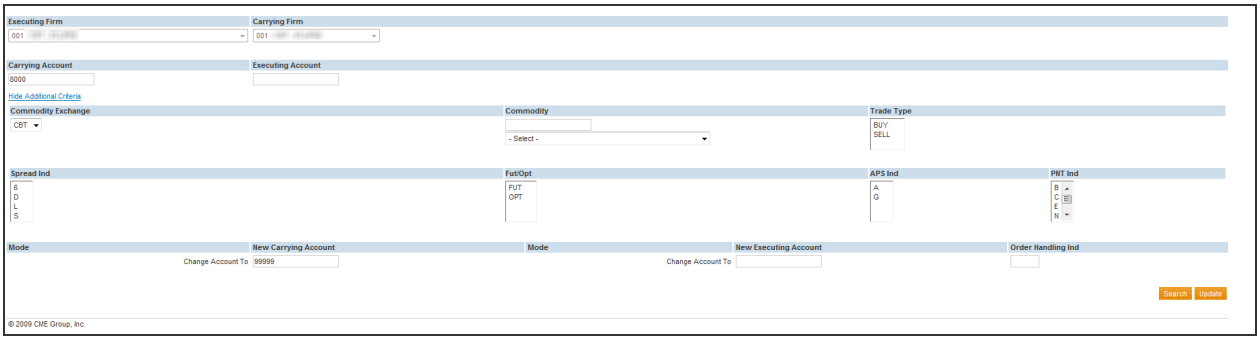
9. To display the trade rule, click **Search**.

The Trade Rule details appears.



10. To specify additional criteria,
    a. Select **Edit Rule** in the drop down.
    b. Click **Show Additional Criteria**.





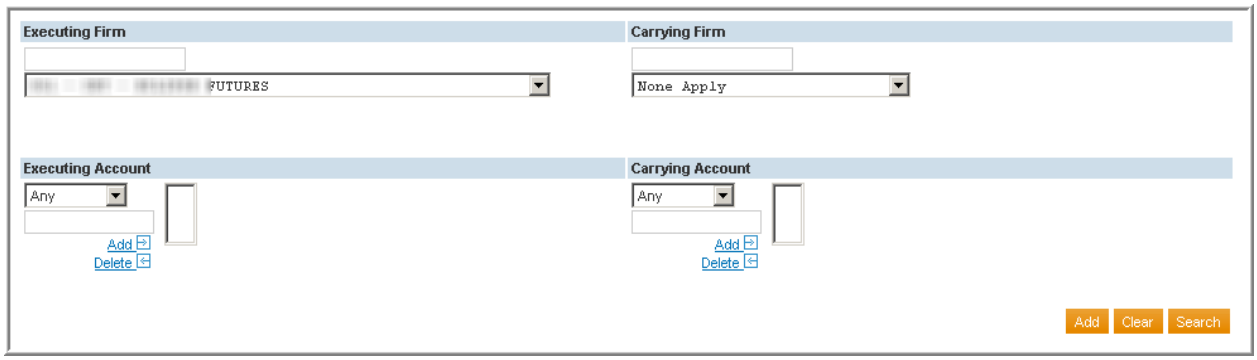
Additional trade rule fields include:

- **Commodity Exchange:** Select an exchange to which the trade rule will apply.
- **Commodity:** Select a commodity to which the trade rule will apply.
- **Trade Type:** Select whether the trade rule will apply to buy trades or sell trades.
- **Spread Indicator:** Select a spread type:
  - **S** or **6** = Spread
  - **D**= Differential Spreads
  - **L**= Legged Spreads.
- **F/O:** Select whether the trade rule will apply to a futures or options trade.
- **APS Indicator:** Select one of the following
  - **A** = Average Price Trade
  - **G** = Give-up Trade
- **PNT Indicator:** Select B=Block Trade, O=OPNT, E=EFP Trade, N= EFR Trade, C=RFCor T=EFS Trade

Accessing Trade Rules

To access the trade rules window:

1. Select the **Transaction Viewer** option from the menu bar,
2. Select Trade Rules from the sub-menu.
3. When the window below appears, click **Add**.



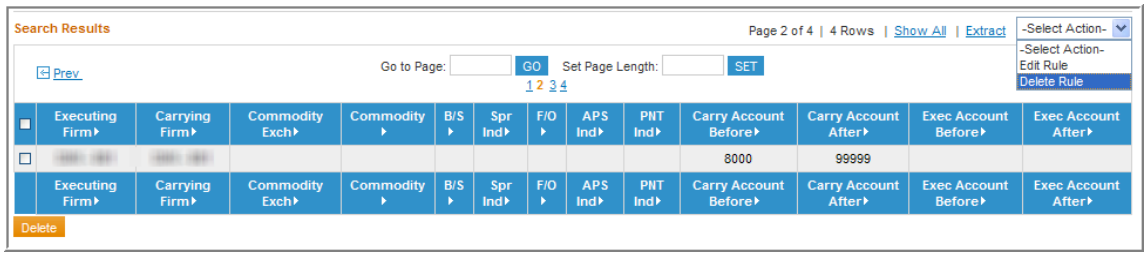
Deleting Trade Rules

You can delete trade rules on the **Trade Rules** page.

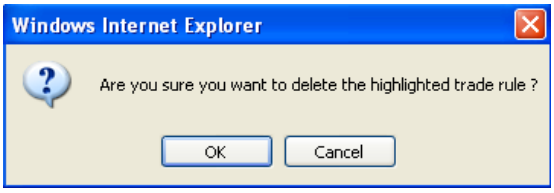
To delete a trade rule:

From the Trade Rules Detail search,

1. Select **Delete Rule** in the drop-down.



2. Click the trade rule.

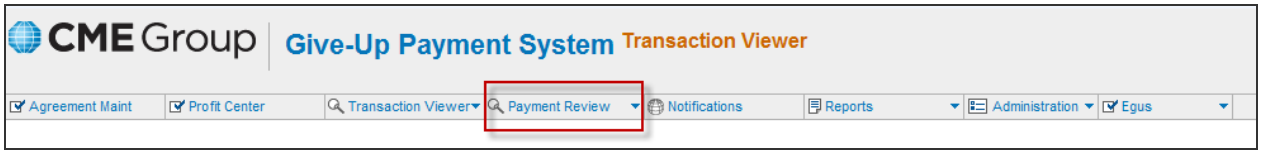


3. Click **OK**.

Payment Review

Payment Review is used by executing and carrying firms to view revenue due to and from other firms.

Changes to trades, rates, accounts and cash adjustments will update payment records on a nightly basis.



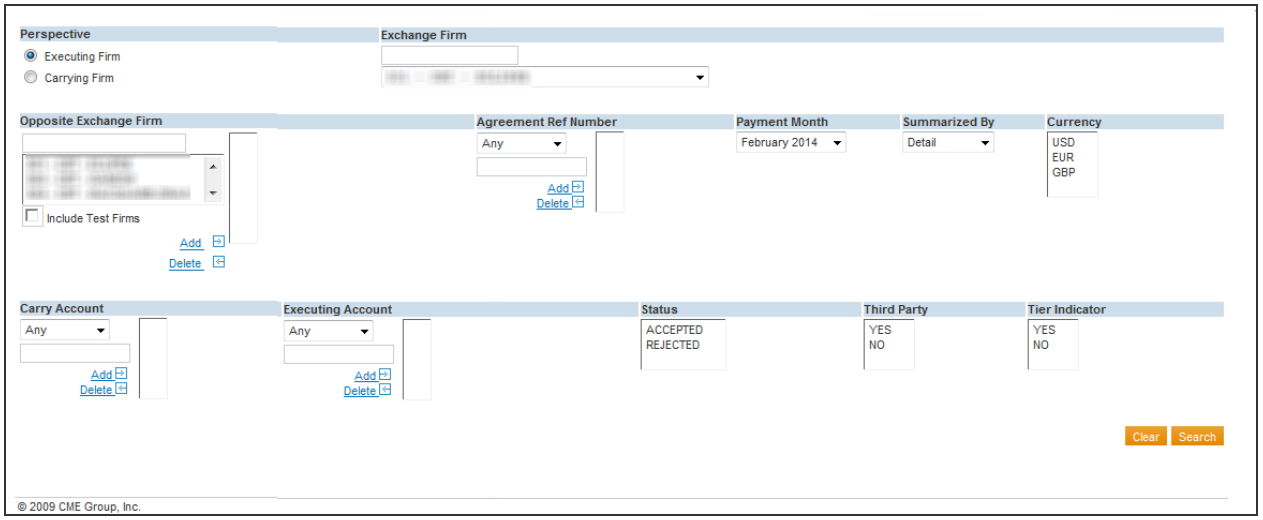
You can perform the following tasks from the Payment Review tab.

- Payment – View payments for the current and prior month.
- Cash Adjustment – Enter adjustments.

Payments

- Payment Search Criteria
- Other Payment Details
- View/Modify Search Criteria
- Payment - Executing Perspective
- Payment - Carrying Perspective
- Reject & Accept Payments
- View Messages

Payment Search Criteria



The Payment screen includes the following criteria:

- **Perspective** - Executing Firm or Carrying Firm perspective.
- **Exchange Firm** - All of the firms for CME, CBOT and OCC that you have authority to view. Input the 3-digit firm id into the text box or make a selection in the drop-down.
- **Opposite Firm** - 3-digit FirmId. The perspective option determines whether this will be the executing firm or the carrying firm. For example, if your perspective is executing, your opposite firm will be the carrying side.

- **Payment Month** - Current calendar month or the previous calendar month.
- **Summarized by** - Select one of the following:
  - **Account:** Summarized by Carrying Account - Displays month, opposite firm, carrying account, total contracts, profit center, unadjusted give-up revenue, cash adjusted, detail disputed, and total due
  - **Detail:** No Summary Records (Default Summarized by) - Displays status, month, opposite firm, accounts, agreement reference number, third party, total contracts, profit center, unadjusted give-up revenue, cash adjusted, detail disputed, and total due

    Note: Carrying Firms can only perform rejections/reacceptances at the detail level
  - **Firm:** Summarized by executing account and opposite firm - Displays month, profit center, opposite firm, total contracts, unadjusted give-up revenue, cash adjusted, detail disputed, total due
  - **Pay/Collect:** Shows grand total due. Displays month, opposite firm, total contracts, unadjusted give-up revenue, cash adjusted, detail disputed, and total due.
- **Carry Account** - Carrying firm account number (that could be in conjunction with the executing account) that has generated give-up fees or cash adjustments during the payment cycle.
- **Executing Account** - Executing firm account number (in conjunction with the carrying account) that has generated give-up fees or cash adjustments during the payment cycle.
- **Status** - Accepted or Rejected status.
- **Third Party** - Indicates whether payment is from a third party payment (YES) or non-third party (NO).
- **Tier Indicator** - Tier Indicator.

View/Modify Search Criteria

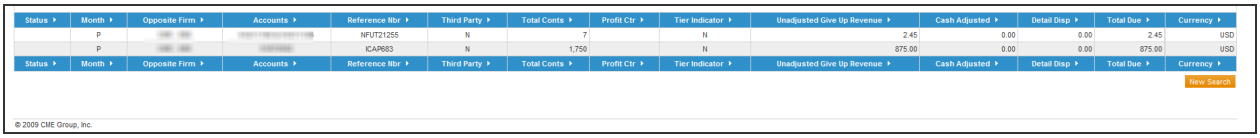
You can view and modify the search criteria that you have selected.

To view/modify the search criteria:

1. Click **Show Payment Search Form**.
2. Modify the search criteria.
3. Click **Search**.

Payment Details

Results from the payment search include the following details.



Note: The monthly payment calculation is as follows: Unadjusted Give-up Revenue + Cash Adjusted - Detail Disputed = Total Due

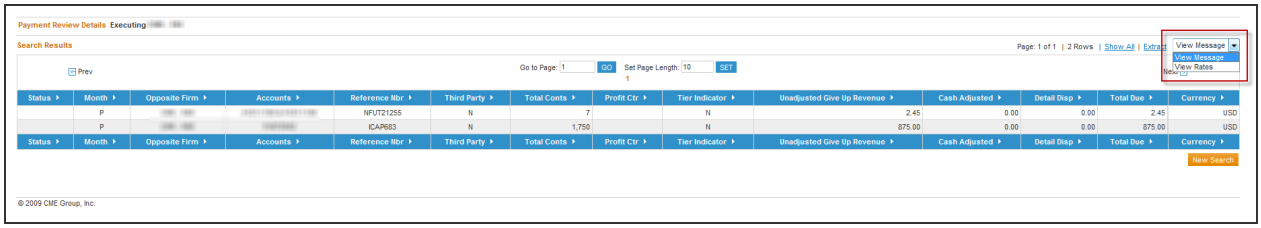
- **Month:**
  - **C** = current month
  - **P** = previous month
- **Opposite Firm** - See Payment Search Criteria.
- **Accounts** - (In "Detail" Summarized By mode) The carrying and executing account together in one line item. This concatenation of accounts will occur if, within the agreement set-up, the accounts are defined by both the carrying and executing account for rate calculation purposes.

- **Reference Number** - The firm-assigned 10 - character Agreement Reference Number associated with the account.
- **Third Party** - Indicates whether payment is from a third party payment (YES) or non-third party (NO).
- **Total Conts** - Total contracts.
- **Profit Center** - Available if defined at the agreement or account level on the Agreement Maintenance page.
- **Tier Indicator -** Tier Indicator.
- **Unadjusted Give-Up Revenue** - The total (gross) amount of give-up fees generated for the payment cycle. This amount can include revenue from previous months and rejected accounts, rates or payments that have been re-accepted.
- **Cash Adjusted** - The total of all cash adjustments entered by the executing firm via the Cash Adjustment page.
- **Detailed Disputed** - Total amount of individual trades rejected by the carrying firm for that account number.
- **Total Due** - The total give-up fees, plus cash adjustments, minus rejected activity for the specific account number and payment cycle.
- **Currency -** Currency (USD, EUR and GBP). Any currency can be selected for searching but US firms will only have payments in USD. European firms can select a specific currency.

Payment - Executing Perspective

After performing a search, executing firms can perform the following tasks:

- View Rates
- View Messages


Payment Review Details Executing
Search Results
Prev
Go to Page: 1 GO Set Page Length: 10 SET
Page: 1 of 1 | 2 Rows | Show All | Extract
View Message
View Rates
Status Month Opposite Firm Accounts Reference Nbr Third Party Total Conts Profit Ctr Tier Indicator Unadjusted Give Up Revenue Cash Adjusted Detail Disp Total Due Currency
NFUT21255 N 7 N 2.45 0.00 0.00 2.45 USD
ICAP683 N 1,750 N 875.00 0.00 0.00 875.00 USD
New Search
© 2009 CME Group, Inc.

View Rates

You can view rates to see what rate set is associated with a payment.

To view rates:

1. Select **View Rates** in the drop-down.
2. Click the payment.

   The rate set is displayed on the **Agreement Maintenance - Rate Maintenance** page.
3. To go back to the trade details, select **Payment Review** and click **Payment**.

Note: The **View Rates** action is only available/viewable under the Summarized by "Details" feature.

View Messages

You can view messages to see the reason a payment was rejected by the carrying firm.

Note: The **View Messages** action is only available/viewable under the Summarized by "Details" feature.

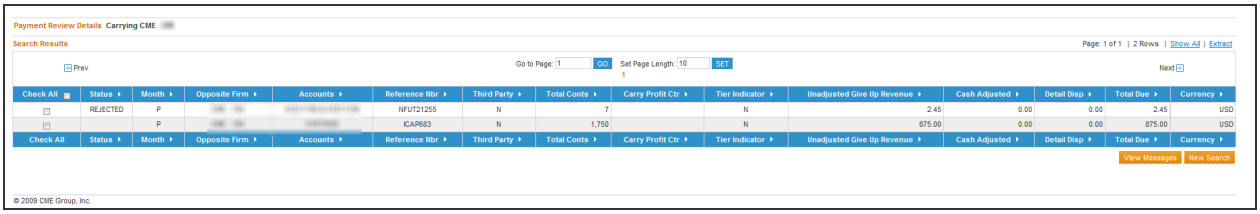
To view messages:

See View Messages and Notes

Payment - Carrying Perspective

After performing a payment search, carrying firms may perform the following tasks:

- View Messages
- Reject Payments
- Accept Payments


Payment Review Details Carrying CME
Search Results
Page: 1 of 1 | 2 Rows | Show All | Extract
Prev
Go to Page: 1 GO
Set Page Length: 10 SET
Next
Check All | Status | Month | Opposite Firm | Accounts | Reference Nbr | Third Party | Total Conts | Carry Profit Ctr | Tier Indicator | Unadjusted Give Up Revenue | Cash Adjusted | Detail Disp | Total Due | Currency
REJECTED P NFUT21255 N 7 N 2.45 0.00 0.00 2.45 USD
P ICAP683 N 1,750 N 875.00 0.00 0.00 875.00 USD
View Messages
New Search
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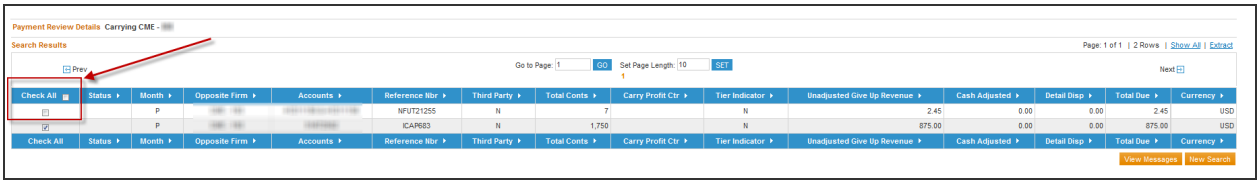
Reject, Accept & View Payments

After searching for payments, carrying firms may use the **Payment Review** page to reject and accept payments.

Reject Payments

To reject a payment

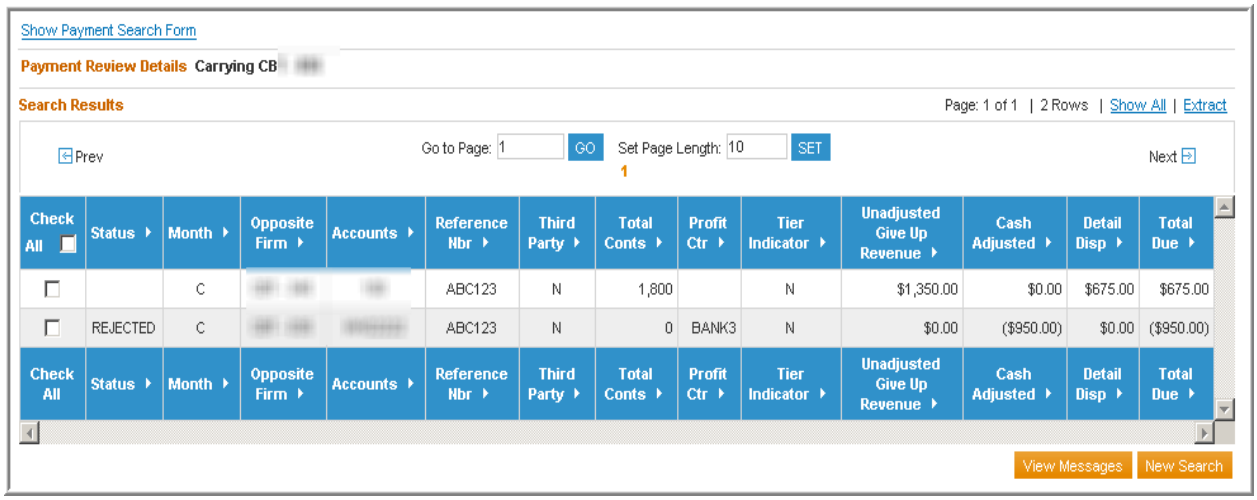
1. Select the check box(es) for the payment(s).

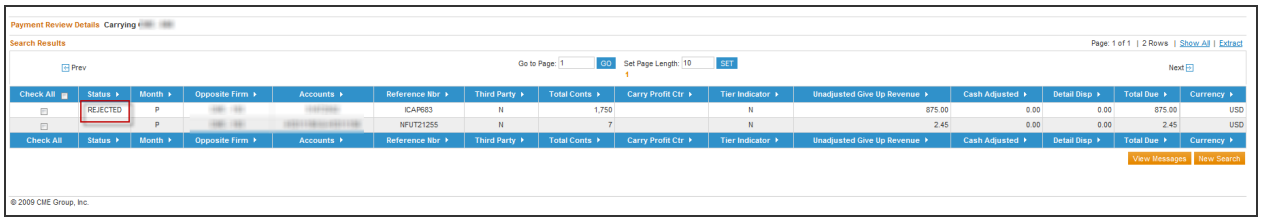

Payment Review Details Carrying CME
Search Results
Page: 1 of 1 | 2 Rows | Show All | Extract
Prev
Go to Page: 1 GO
Set Page Length: 10 SET
Next
Check All | Status | Month | Opposite Firm | Accounts | Reference Nbr | Third Party | Total Conts | Carry Profit Ctr | Tier Indicator | Unadjusted Give Up Revenue | Cash Adjusted | Detail Disp | Total Due | Currency
P NFUT21255 N 7 N 2.45 0.00 0.00 2.45 USD
P ICAP683 N 1,750 N 875.00 0.00 0.00 875.00 USD
View Messages
New Search

2. Select "Rejected" in the drop-down.

3. Select or Enter a message.
4. Click **Submit**.

   A confirmation message displays indicating that the payments have been rejected.
5. To display the rejected Status execute a new search.

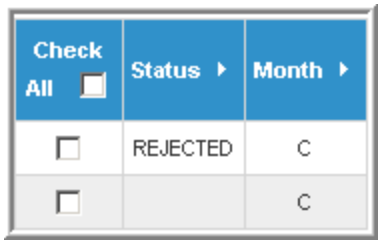




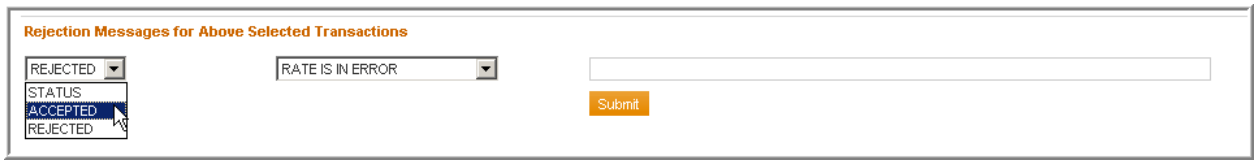
Accept Payments

To accept a payment

1. Select the check box(es) for the payment(s) that have “Rejected” status.



2. Select “Accepted” in the drop-down.



3. Click **Submit**.

   A confirmation message displays indicating that the transactions have been accepted. The Status code is now blank, indicating an implied acceptance.

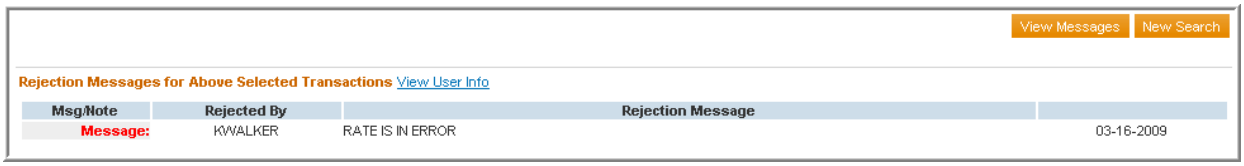
View Messages

After searching for payments, carrying firms can review messages for payments that have been rejected.

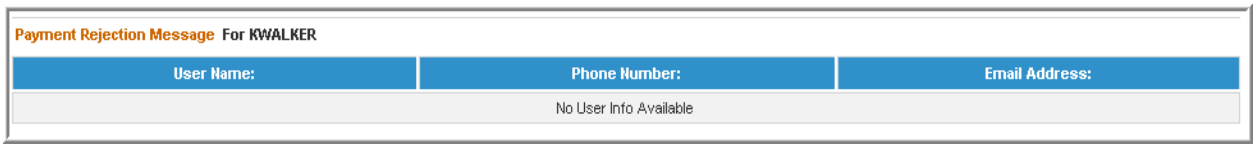
To view messages:

1. Select the check box for the rejected payment.
2. Click **View Messages**.

Note: You may only view one message at a time.



3. To view the user information, click **View User Info**.



Cash Adjustment

The Cash Adjustment report displays the adjustments made to the payment total that the executing firm will receive through the automated banking process.

Note: If the carrying firm perspective is used, cash adjustments made to third party agreements will not be included in the report.

For the Cash Adjustment Report, the following criteria are required:

- Report Type
- Perspective
- Firm
- Month[1]

Cash Adjustment History Report

The Cash Adjustment History Report displays cash adjustments processed up to three months prior to the current month.

For the Cash Adjustment History Report, the following criteria are required:

- Report Type
- Perspective
- Firm
- Month

See the following topics for more information:

- Accessing Cash Adjustments
- Cash Adjustment Search Criteria
- Cash Adjustment Details
- Cash Adjustments Generated by Tiered Rates
- Cash Adjustment – Executing Perspective
- Add Cash Adjustments
- Delete Cash Adjustments

[1]exclusive to cash adjustment and the payment reports only, as it reflects current and prior month.

- Edit Cash Adjustments
- View Accounts
- View Messages & Notes
- View Payments
- Cash Adjustment – Carrying Perspective
- Reject Cash Adjustments
- Accept Cash Adjustments
- View Messages

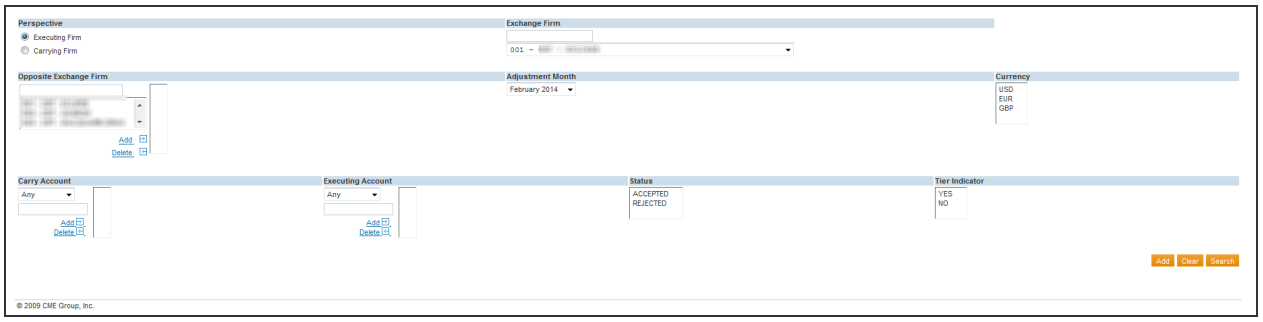
Accessing Cash Adjustments

To access the Cash Adjustment page:

1. Select **Payment Review**.
2. Select **Cash Adjustments**.

Cash Adjustment Search Criteria

The cash adjustment search criteria are shown below.



Search Criteria

Perspective - Executing Firm or Carrying Firm perspective.

Exchange Firm - See Payment Search Criteria.

Opposite Firm - See Payment Search Criteria.

Adjustment Month - Current calendar month or previous calendar month.

Carry Account - See Payment Search Criteria.

Executing Account - See Payment Search Criteria.

Status - See Payment Search Criteria.

Viewing or Modifying Search Criteria

After performing a search for cash adjustments, you can view and modify the search criteria.

To view/modify the search criteria:

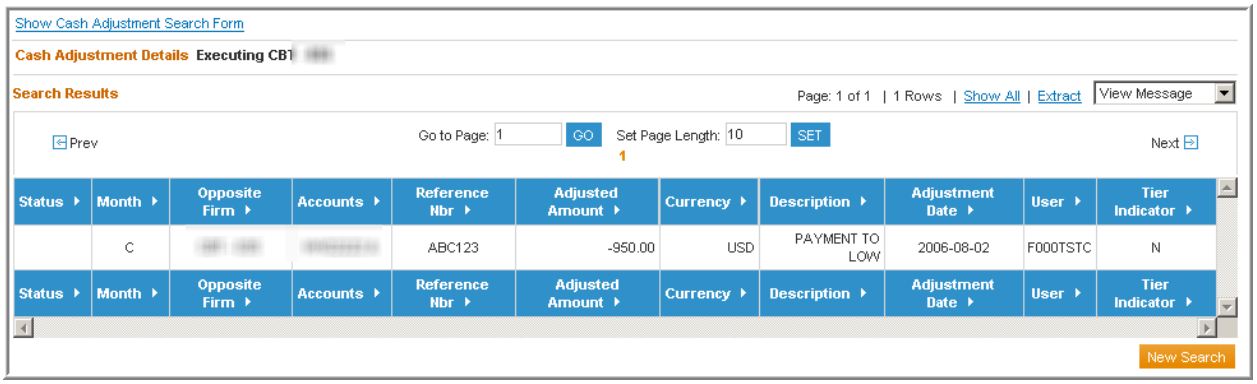
1. Click **Show Cash Adjustment Search Form** above the result set.

The search form displays above the search data.

2. Modify the search criteria.
3. Click **Search**.

Cash Adjustment Details

After searching for cash adjustments, the cash adjustment details below are displayed.



- **Status** - See Payment Search Criteria.
- **Month** - "C" (current month) or "P" (previous month).
- **Opposite Firm** - See Payment Search Criteria.
- **Accounts**– The carrying account (and the executing account if used as a pricing criterion).
- **Reference Number** - See Other Payment Details.
- **Currency** - See Other Payment Details.
- **Description** – Description of the cash adjustment
- **Adjustment Date** - The date the firm entered the adjustment. This date is not tied to any specific trade date; this is for informational purposes only.
- **User** - The individual's user id that made the adjustment.
- **Tier Indicator** - Indicates whether rates are at a tiered level.

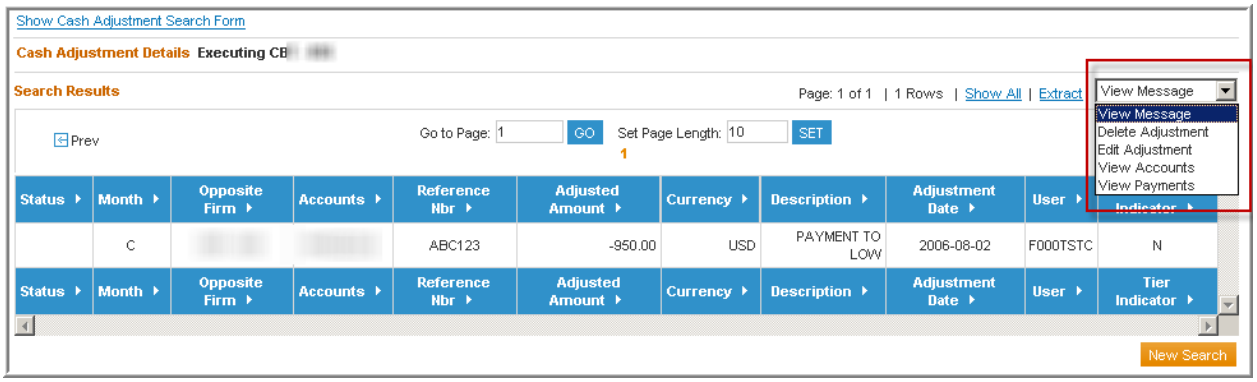
Cash Adjustments Generated by Tiered Rates

- Agreements containing tiered rate sets will price all trades at the base (default) rate initially; in nightly batch processing,
- GPS will automatically generate cash adjustments that represent the difference between the tiered rate that applies and the base rate.
- GPS will create the discount, subtract it from the base rate and add it back in the form of a cash adjustment.
- It will be described as a "GPS-generated cash adjustment".

Cash Adjustment – Executing Perspective

After performing your search, executing firms will be able to perform the following actions on their respective result set:

- Add Adjustments
- Delete Adjustments
- Edit Adjustments
- View Accounts
- View Messages
- View Payments

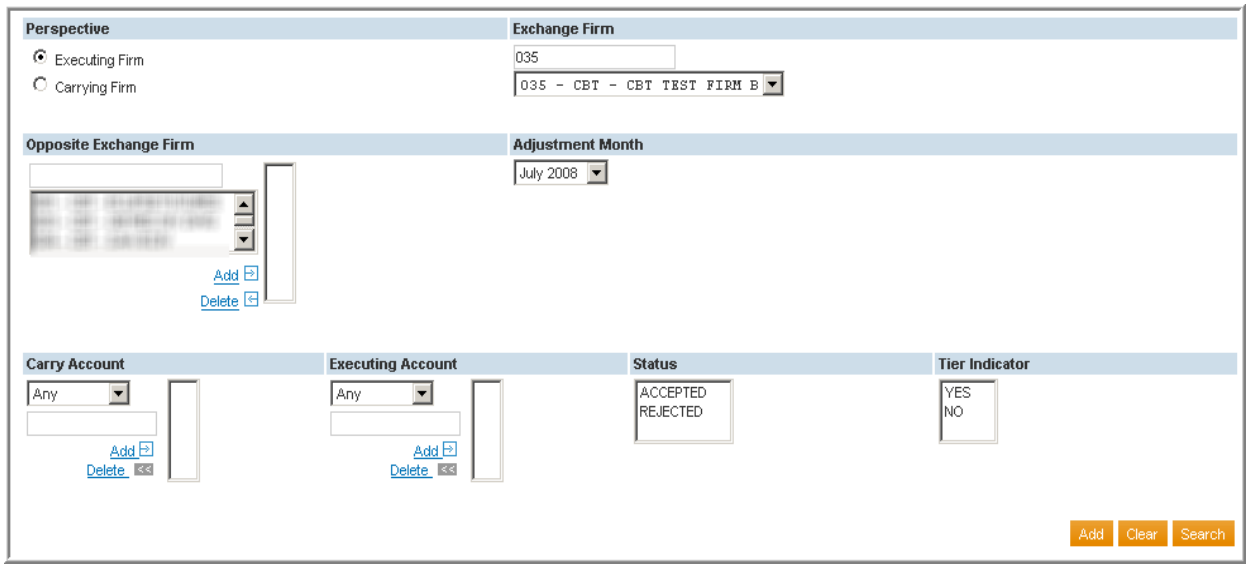


Add Cash Adjustments

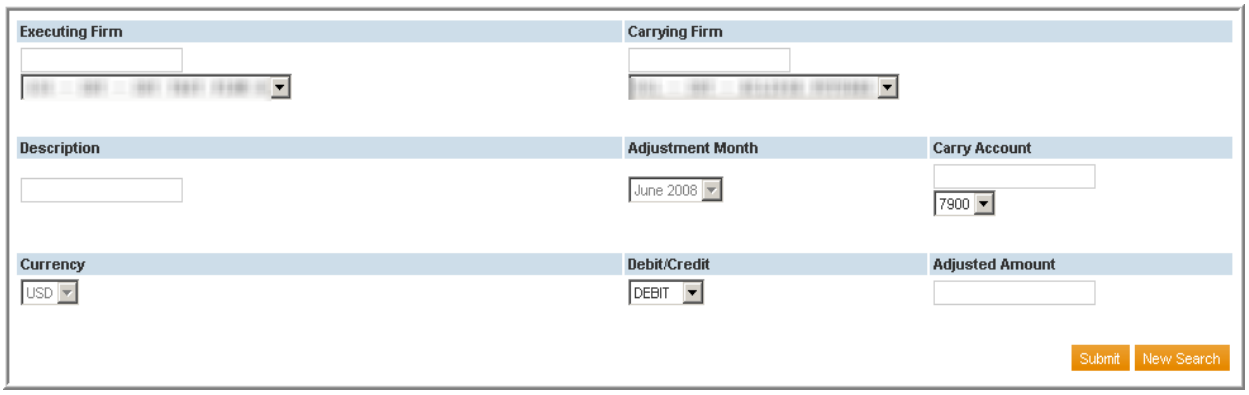
Executing firms may add cash adjustments.

To add a cash adjustment:

1. Select **Payment Review**.
2. Click **Cash Adjustments**.
3. Click **Add**.



Enter the details of the cash adjustment.



- **Executing Firm** - See Payment Search Criteria.
- **Carrying Firm** - See Payment Search Criteria.
- **Description** - The explanation for the cash adjustment.
- **Adjustment Month** - See Cash Adjustment Search Criteria.
- **Carry Account** - See Cash Adjustment Search Criteria.
- **Currency**– For all third party agreements, any currency is valid. For a US non-third party agreement, only USD is valid. For a European non-third party agreement, USD, EUR and GBP are valid.
- **Debit/Credit** – If "Debit" is selected, the dollar amount displays a negative value. If "Credit" is selected, the dollar amount displays a positive value. The cash adjustment works from the executing firm perspective. A positive dollar amount will increase the cash flow from the carrying firm to the executing firm. A negative dollar amount will decrease the cash flow to the executing firm by giving the carrying firm an increase (credit amount).
- **Adjusted Amount** – Dollar figure representation of the cash adjustment.

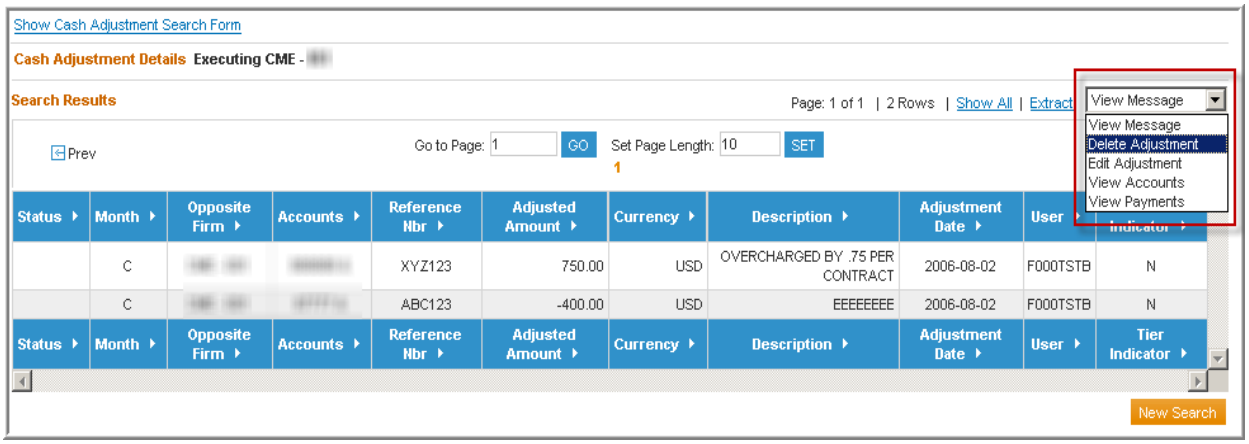
9. Click **Submit**.

   The cash adjustment will be added to the database.

Delete Cash Adjustments

To delete a cash adjustment:

1. Search for cash adjustments.
2. Select **Delete Adjustment** from the drop-down.



3. Click the cash adjustment.

A pop-up message displays.

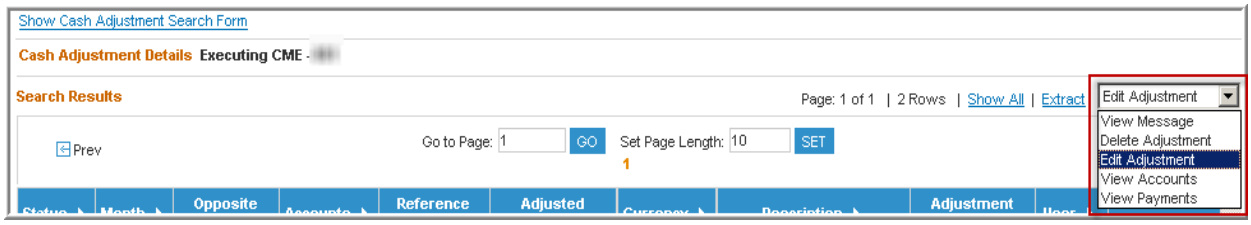
4. Click **OK**.

   The cash adjustment is immediately deleted and the page refreshes.

Edit Cash Adjustments

To edit a cash adjustment:

1. Search for cash adjustments.
2. Select **Edit Adjustment** in the drop-down.



3. Click the cash adjustment.
4. Edit the necessary fields:
   - **Debit/Credit**
     - **Debit** - The dollar amount displays a negative value.
     - **Credit** - The dollar amount displays a positive value.
   - **Adjusted Amount** - The value of the cash adjustment (in USD only).
   - **Description** - The reason the cash adjustment was necessary.
5. Click **Submit**.

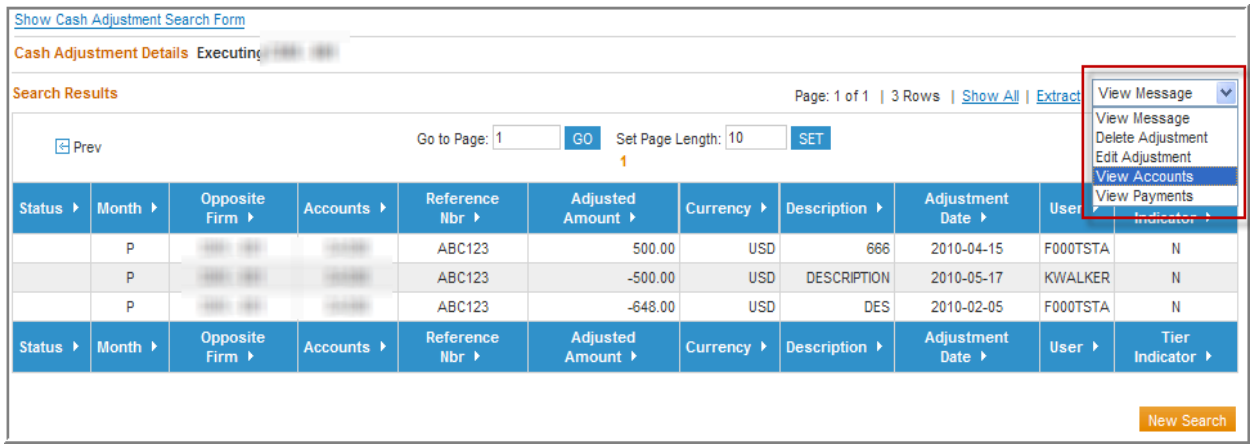
   The cash adjustment is immediately updated.

View Accounts

Executing firms can view accounts to see how the account was defined within the underlying agreement.

To view accounts:

1. Search for cash adjustments.
2. Select **View Account** in the drop-down.



3. Click the account.

You will be redirected to the rate set on the Agreement Maintenance page.

4. To return to the cash adjustment page:
    a. Select **Payment Review**.
    b. Click **Cash Adjustment**.

View Messages and Notes

Executing firms can view messages and notes to see why a cash adjustment was rejected by the carrying firm.

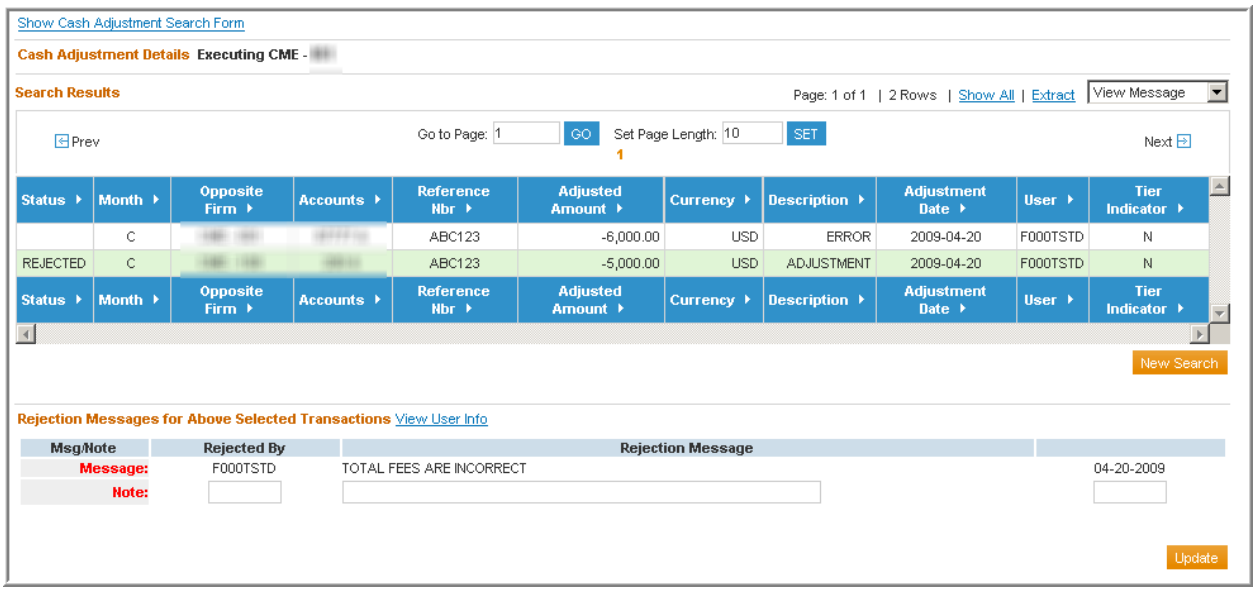
1. Search for cash adjustments.
2. Select **View Messages**.
3. Click the cash adjustment.

    You can preview the message left by the carrying firm.

    Note: The message contains who the payment was rejected by, the rejection message, and the day that it was rejected.

    Note: The executing firm has to wait until the carrying firm re-accepts the transaction. The executing firm can leave notes indicating that they have addressed the issue with that particular transaction.

4. To leave a note:
    a. Enter text in the **Note:** text box.
    b. Click **Update**.


Show Cash Adjustment Search Form
Cash Adjustment Details Executing CME -
Search Results
Page: 1 of 1 | 2 Rows | Show All | Extract
View Message
Prev
Go to Page: 1 GO
Set Page Length: 10 SET
1
Next
Status Month Opposite Firm Accounts Reference Nbr Adjusted Amount Currency Description Adjustment Date User Tier Indicator
C ABC123 -6,000.00 USD ERROR 2009-04-20 F000TSTD N
REJECTED C ABC123 -5,000.00 USD ADJUSTMENT 2009-04-20 F000TSTD N
New Search
Rejection Messages for Above Selected Transactions View User Info
Msg/Note Rejected By Rejection Message
Message: F000TSTD TOTAL FEES ARE INCORRECT 04-20-2009
Note:
Update

View Payments

Executing firms can view payments to see how the cash adjustment was applied against the respective payment:

To view a payment:

1. Click **View Payments**.
2. Click the cash adjustment.

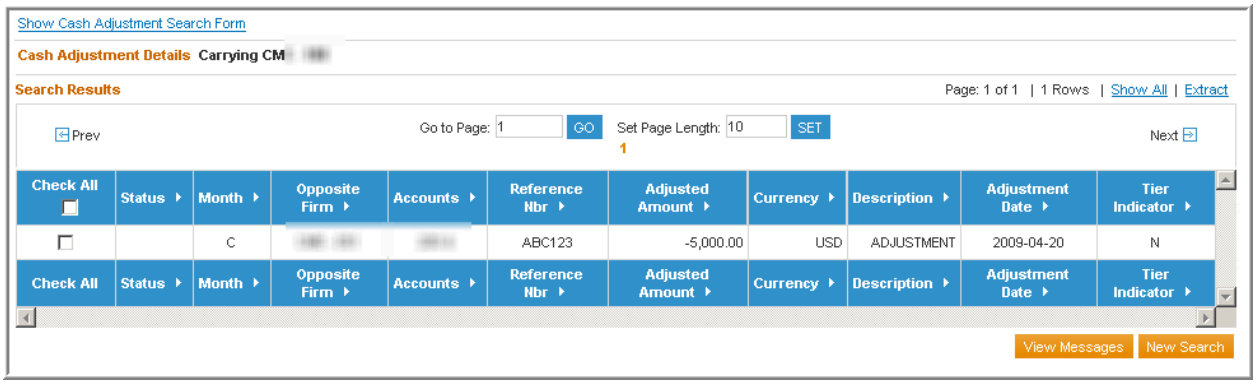
    You will be redirected to the rate set on the Payment page.

3. To return to the cash adjustment details:
    a. Select **Payment Review**.
    b. Click **Cash Adjustment**.

Cash Adjustment – Carrying Perspective

After performing a search, carrying firms can perform the following tasks:

- View Messages
- Reject Payments
- Accept Payments



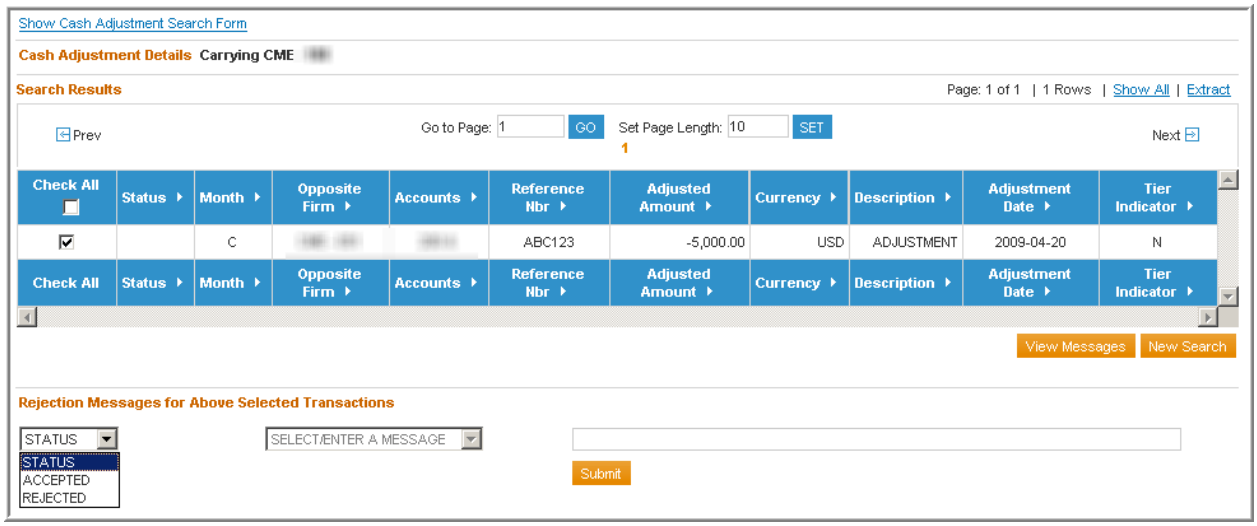
Reject Cash Adjustments

Carrying firms can reject cash adjustments.

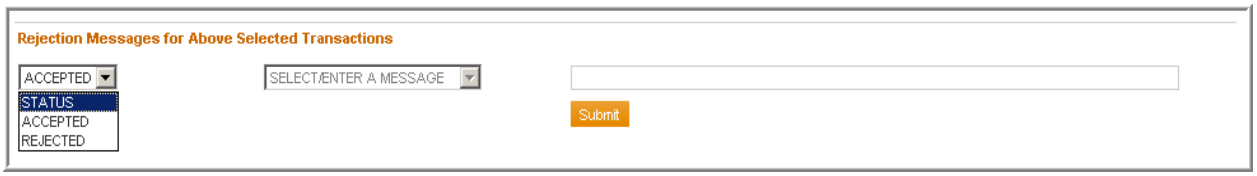
To reject a cash adjustment:

1. Search for cash adjustments.
2. Click the check box for the cash adjustment(s).

Note: If **Check All** is selected, only the rows that are currently being displayed are selected.

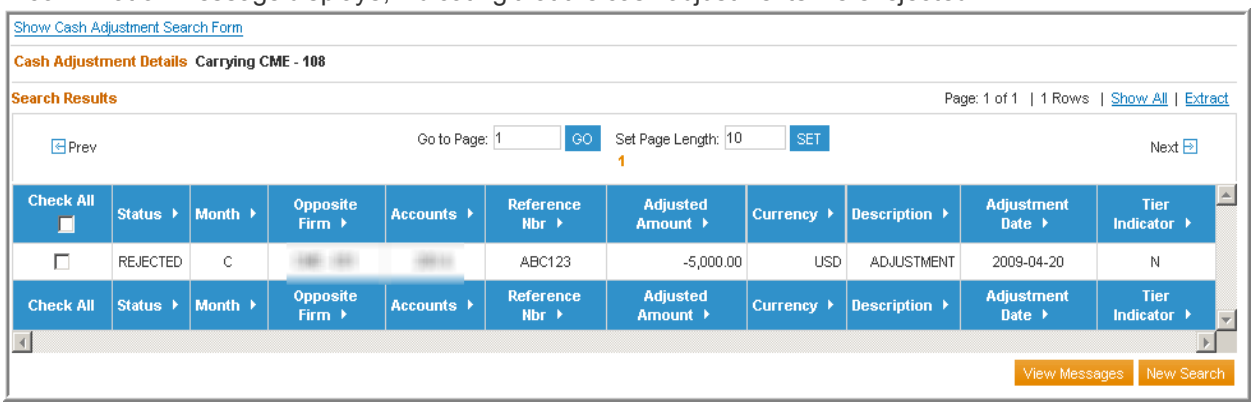


3. Select **Rejected**.
4. Select or enter a message.



5. Click **Submit**.

   A confirmation message displays, indicating that the cash adjustments were rejected.



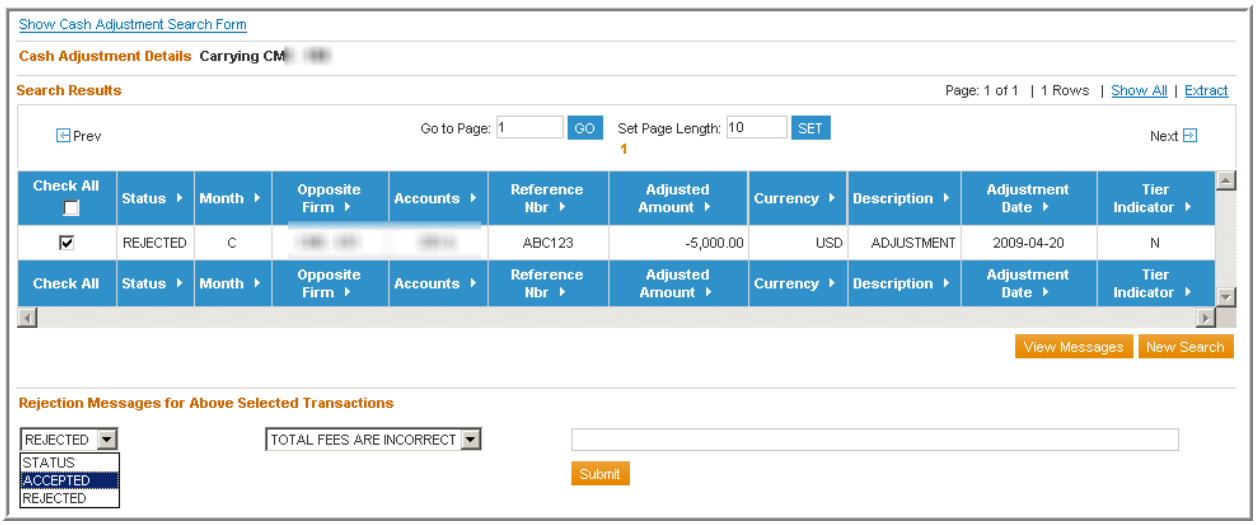
Accept Cash Adjustments

Carrying firms can accept cash adjustments.

To accept a cash adjustment:

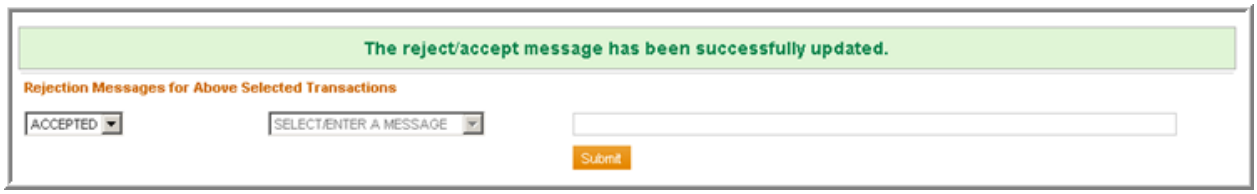
1. Search for cash adjustments.
2. Click the check box of a cash adjustment(s) with **Rejected** status.

Note: If **Check All** is selected, only the rows currently displayed on the page are selected.



3. Select **Accepted**
4. Click **Submit**.

   A confirmation message displays, indicating that the cash adjustments were accepted. The Status is now blank, which indicates an implied acceptance.



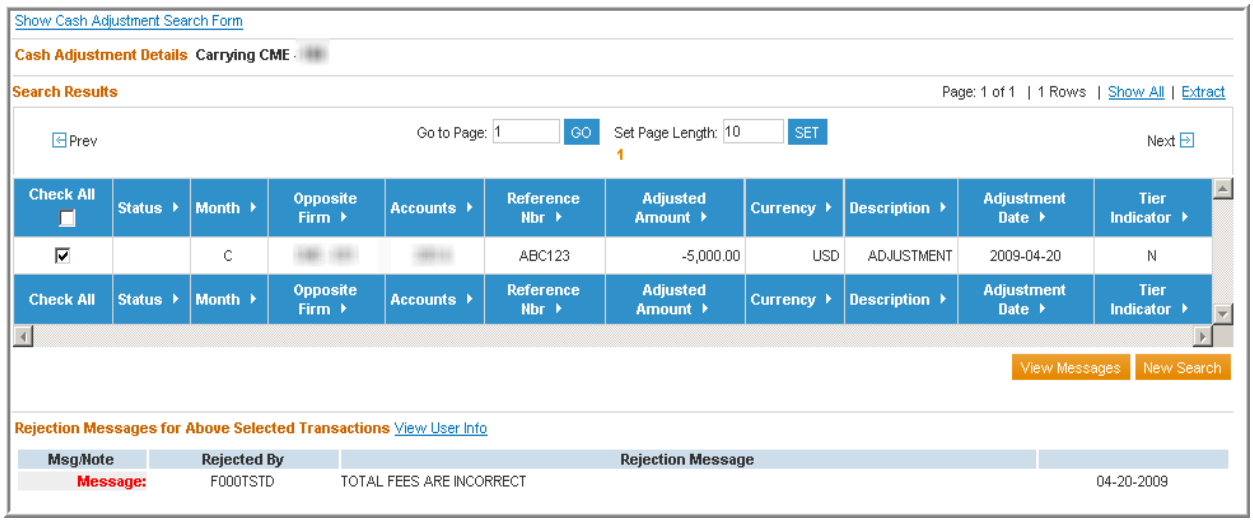
View Messages

Carrying firms can view messages to see why cash adjustments were rejected.

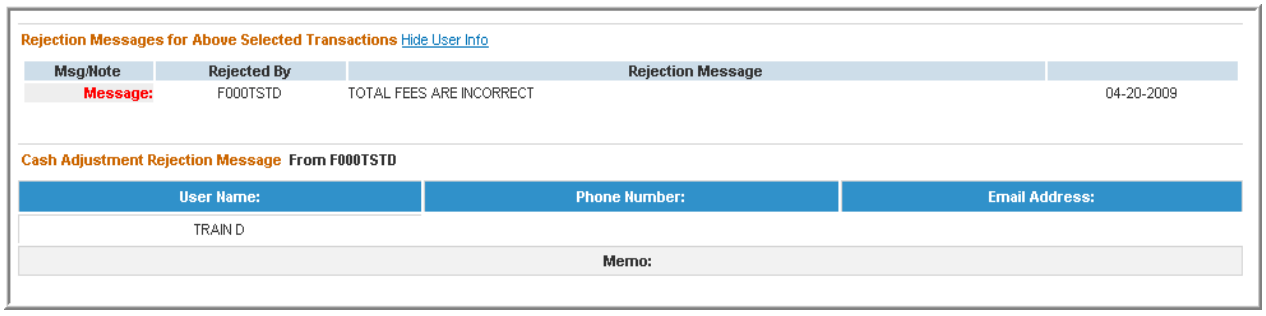
To view messages:

1. Search for cash adjustments.
2. Click the check box for the rejected cash adjustment.
3. Click **View Messages**.

Note: You may only view one message at a time.



4. To view the user information (Rejected By), click **View User Info**.



5. To return the search screen, select **New Search**.

Notifications

Executing and carrying firms can perform the following tasks related to notifications:

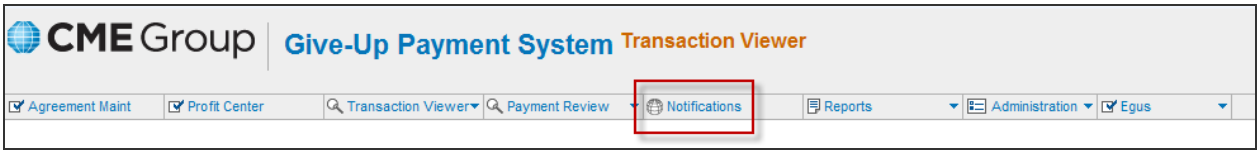
- Search
- View/Modify
- Delete Notifications
- View Information

Notification Search

You must search for notifications before you can view/modify, delete, or view information for them.

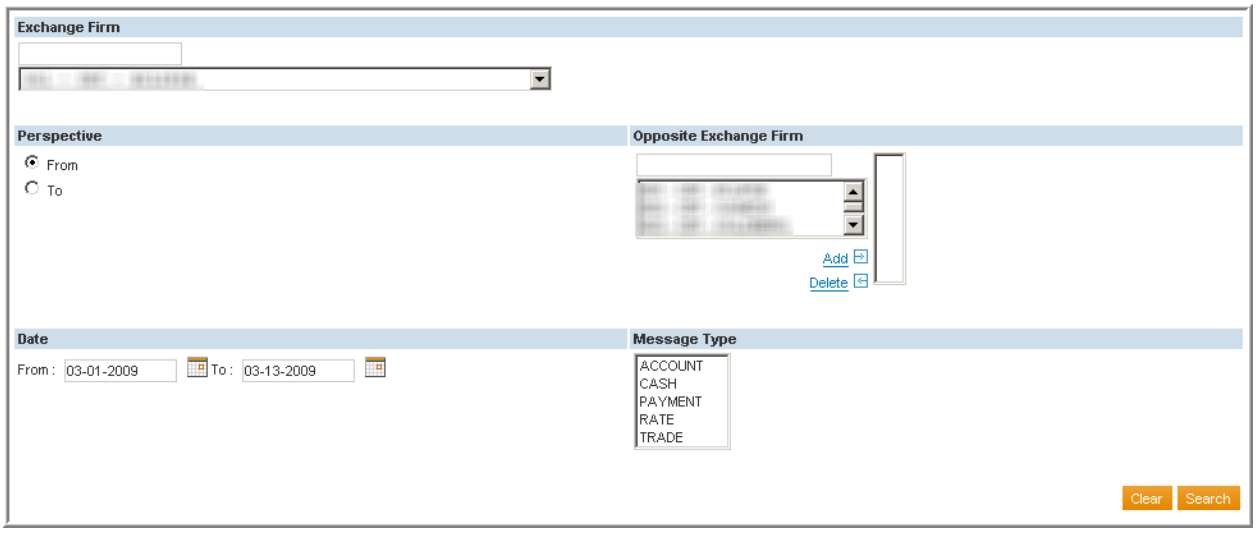
To search for notifications:

1. Click **Notifications**,



or click the new notifications indicator on the homepage:

2. Enter the Search Criteria.



3. Click **Search**.

Search Criteria

Field	Description
Exchange Firm	**(Required)** All of the firms for CME Group and CBOT that you have authority to view. Enter the 3-digit firm id into the text box or make a selection in the drop-down.

Field	Description
Perspective	**(Required)** Choose the “From” or “To” perspective.
From	Notifications sent from other carrying and executing firms
To	Notifications sent to other carrying and executing firm
Opposite Exchange Firm	**(Required)** The firm to which the notification message is addressed.
Date	Specific date(s) of notifications.
Message Type	**(At least one required)** Message type. • ACCOUNT • CASH • PAYMENT • RATE • TRADE

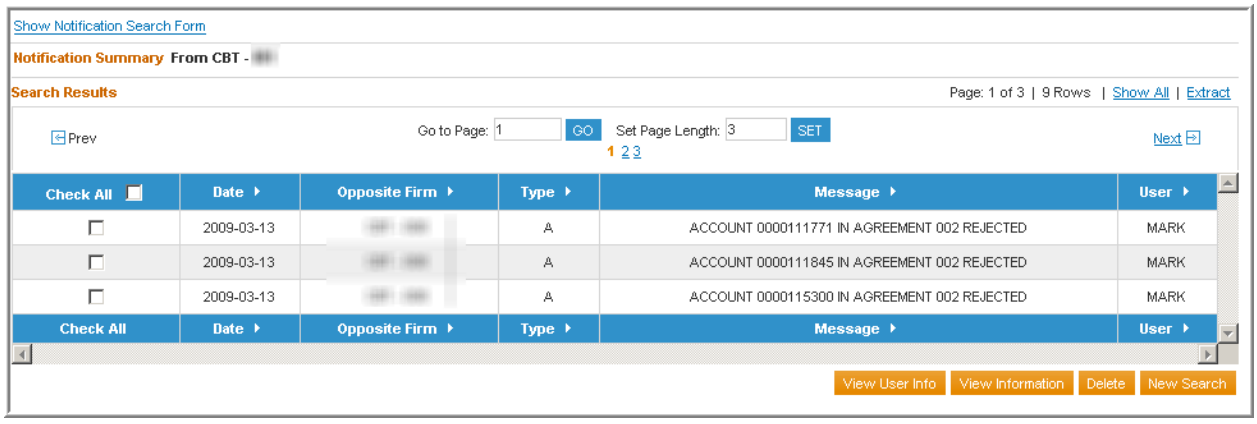
Viewing or Modifying Search Criteria

After performing a notifications search, you can view and modify the search criteria.

To view/modify the search criteria:

1. Search for notifications.
2. Click **Show Notification Search Form**.

   The search form displays above the search data.
3. Modify the Search Criteria.
4. Click **Search**.
5. To hide the search form, click **Hide**.



Delete Notifications

Executing and carrying firms can delete notifications from the **Notifications** page.

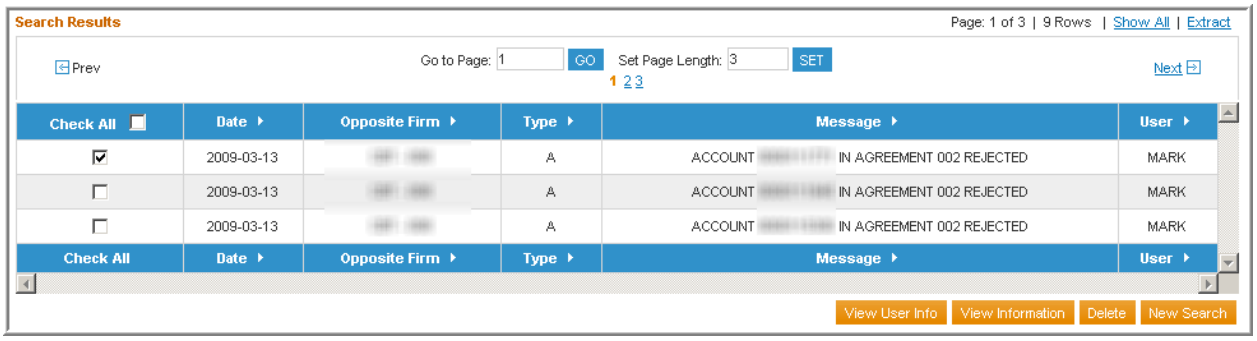
Note: Notifications are automatically deleted after seven business days.

To delete a notification

1. Search for notifications.
2. Click the check-box for the notification(s).

Note: If **Check All** is selected, only the rows currently displayed on the page are selected.

3. Click **Delete**.



A pop-up message displays.

4. Click **OK**.

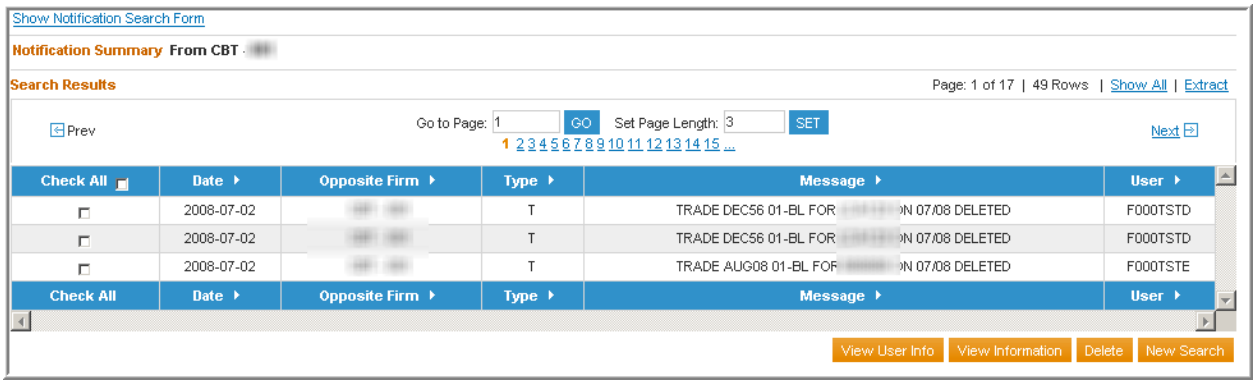
Note: The notification is removed from the list, but no confirmation message is sent.

View Information

Executing and carrying firms can view information for notifications on the **Notifications** page.

To view information:

1. Search for notifications.


Show Notification Search Form
Notification Summary From CBT
Search Results
Page: 1 of 17 | 49 Rows | Show All | Extract
Prev
Go to Page: 1 GO Set Page Length: 3 SET
1 2 3 4 5 6 7 8 9 10 11 12 13 14 15 ...
Next
Check All
Date
Opposite Firm
Type
Message
User
2008-07-02 T TRADE DEC56 01-BL FOR ON 07/08 DELETED F000TSTD
2008-07-02 T TRADE DEC56 01-BL FOR ON 07/08 DELETED F000TSTD
2008-07-02 T TRADE AUG08 01-BL FOR ON 07/08 DELETED F000TSTE
View User Info
View Information
Delete
New Search

2. Select the check box for the notification.
3. Click **View Information**.

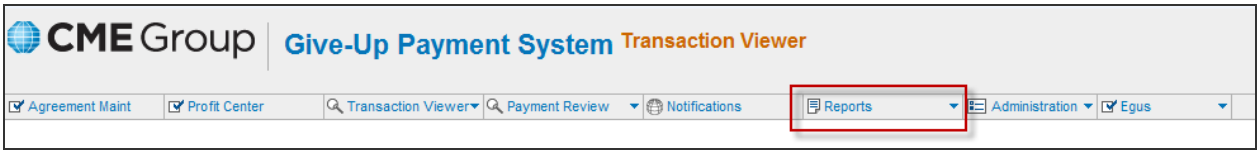
   You will be redirected to the respective screen, based on the action type.
4. To return to the Notifications page, click **Notifications**.

Reports

The Reports page allows you to generate, customize and retrieve reports on demand.

Accessing Reports

You can access reports on the **Reports** page.



Under the **Reports** tab, there are three options:

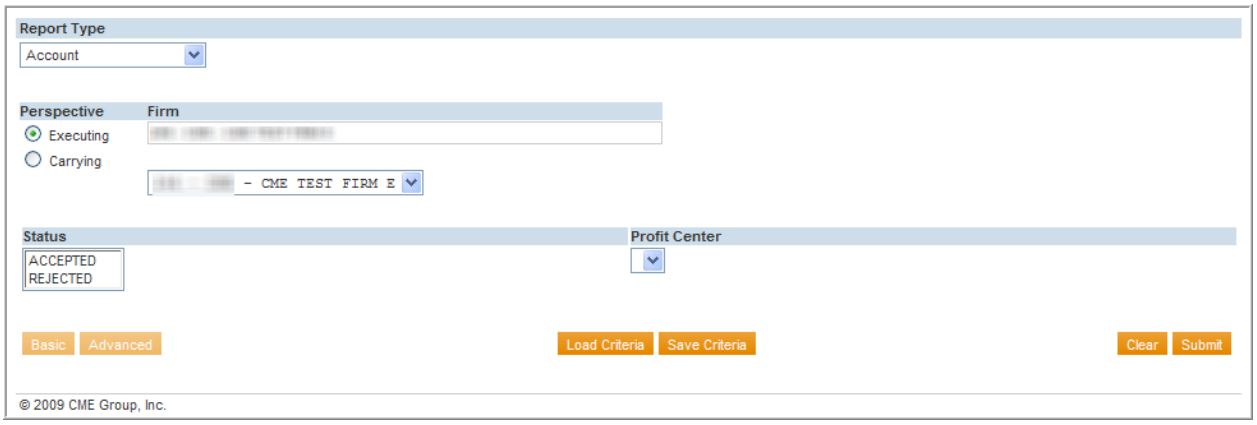
- **Request Reports** - generate reports sorted by type.
- **View Report Request** - view previous requested reports.
- **View Batch Reports** - view a batch of report, grouped by type.

Report Request

Executing and Carrying firms can generate reports on the **Request Reports** page.

To generate a report:

1. Select **Reports**.
2. Click **Request Reports**.



3. Select a **Report Type** in the drop-down.

   Note: The displayed fields depend on the report type selected.

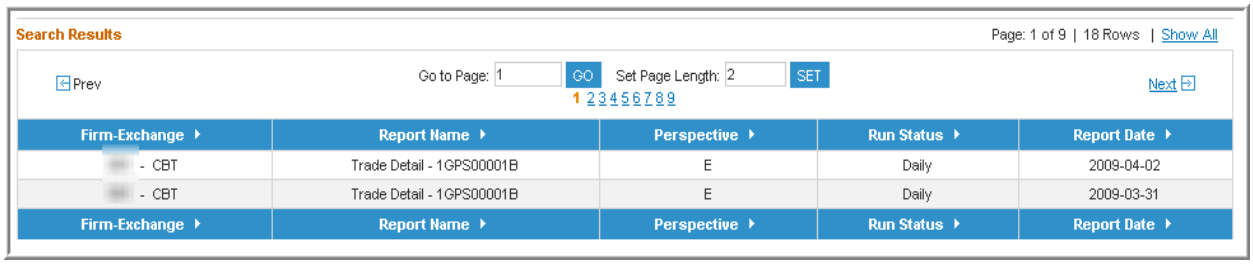
4. Select the criteria for the report.
5. Click **Submit**.

View Report Request

Executing and carrying firms can view batch reports.

To view batch reports

1. Select **Reports**.
2. Click **View Batch Reports**.



3. Click the report.

   A new window opens to display the report in a PDF.

Report Display

The Report Viewer will default to showing only reports requested during the current day.

You can view reports requested prior to the current day by clicking the hyperlink in the upper right corner of the Report Viewer.

Column Descriptions

Report requests contain the following details.

The columns can be sorted in ascending or descending order by clicking the arrow to the right of the column header. Data can only be sorted by one column at a time.

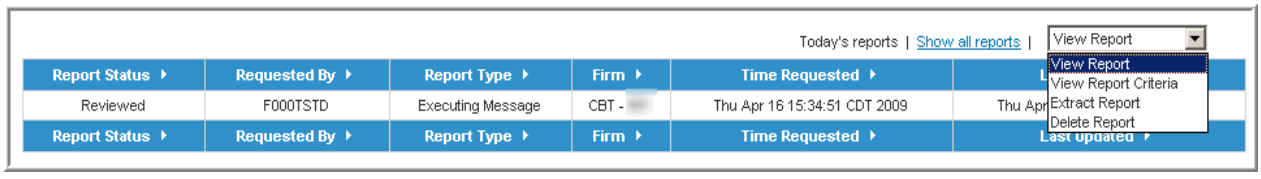
- **Report Status** Status of the submitted report.
  - **Requested** - The report has been submitted for processing
  - **Running** - The report is currently being processed by the report server.
  - **Ready** - The report has completed processing and is ready to be viewed
  - **No Data** - There was no data matching the report request criteria.
  - **Reviewed** – The report has been accessed (viewed, printed and/or extracted)
- **Requested By** The user id of the individual who requested the report
- **Report Pos** The number of the report request's position in the server
- **Report Type**The title of the report
- **Time Requested** The date and time that the report was requested

View Report Criteria

You can view the criteria of a report that has been requested.

To view the report criteria:

1. Select **View Report Criteria** in the drop-down.



2. Click the report request.

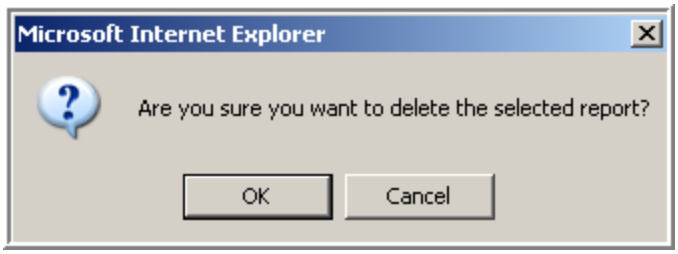
The "Report Criteria" window displays the report criteria.

Delete Report

You can delete a report on the **View Report Request** page.

To delete a report:

1. Select **Report**.
2. Click **View Report Request**.
3. Select **Delete Report** from the drop-down.
4. Click the report.
5. A message displays.



6. Click **OK**.

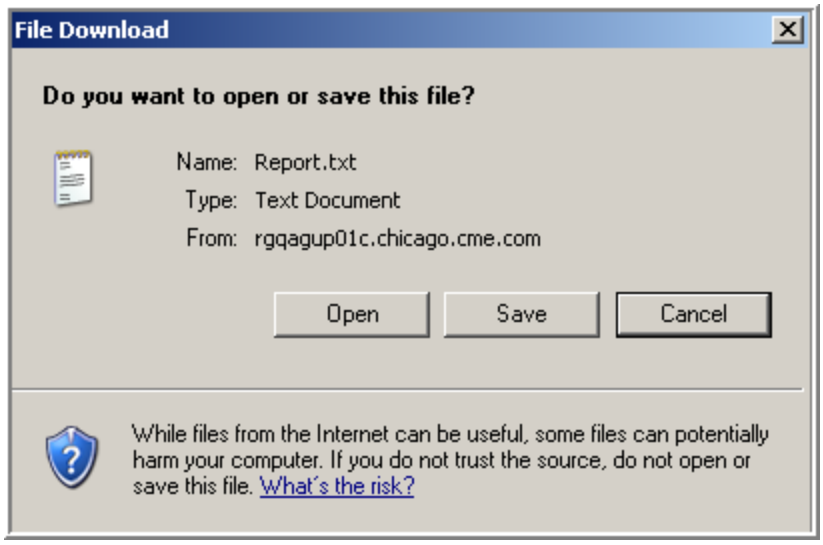
Extract Report

You can extract a report on the **View Report Request** page.

To extract a report:

1. Select **Report**.
2. Click **View Report Request**.
3. Select **Extract Report** from the drop-down.
4. Click the report.

   A message displays.


File Download
Do you want to open or save this file?
Name: Report.txt
Type: Text Document
From: rgqagup01c.chicago.cme.com
Open
Save
Cancel
While files from the Internet can be useful, some files can potentially harm your computer. If you do not trust the source, do not open or save this file. What's the risk?

5. Click **Open** or **Save**.

   All reports extract into a tab delimited file which can be fed into any machine readable format.

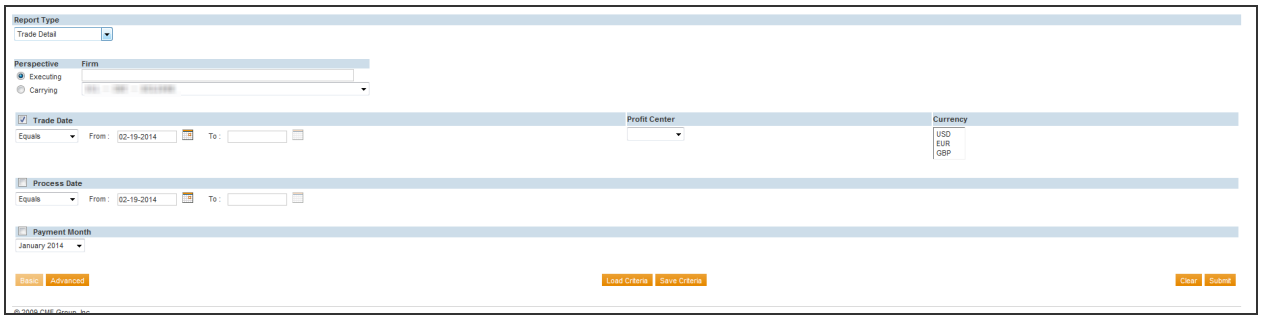
Trade Detail Report

The Trade Detail Report displays all trades by trade date, not what has been processed that day. The detail will display all records based on the date parameters specified.

For Trade Detail Report, there is a basic search and advanced search. The Trade Detail Report generated depends on the perspective (Executing or Carrying) selected.

To perform a Trade Detail Report search:

1. Enter the search criteria.
   - **Report Type** (Required)
   - **Perspective** (Required)
   - **Firm** (Required)
   - **Date** (Required)
   - **Profit Center**



2. To enter advanced search criteria, click **Advanced**.

   See Report Search Criteria for details on the basic and advanced search criteria.

3. Click **Search**.

Trade Summary Report

The Trade Summary report summarizes trades and associated fees for the specified period.

For the Trade Summary report, the following criteria are required:

- Perspective
- Firm
- Trade Date (defaults to Month to Date)
- Profit Center
- Process Date
- Payment Month

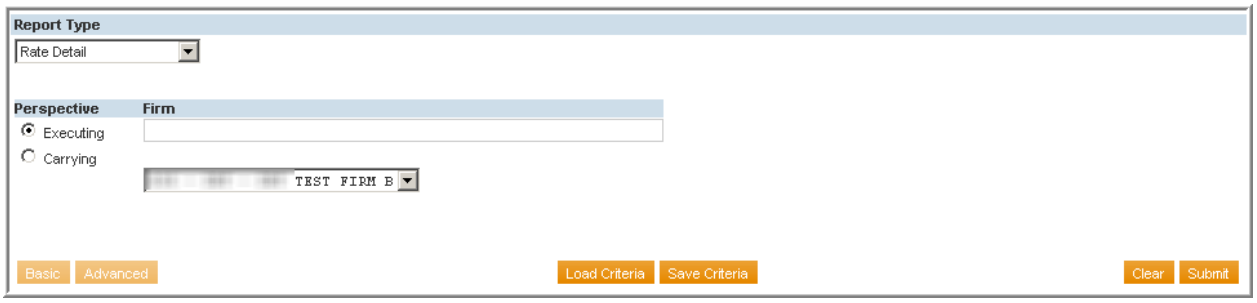
Rate Detail Report

The Rate Detail Report displays the agreement and the associated rate set.

Note: If the carrying firm perspective is used, rate details for third party agreements will not be included.

For the Rate Detail Report, the following criteria are required:

- **Report Type**
- **Perspective**
- **Firm**



Cash Adjustment

The Cash Adjustment report displays the adjustments made to the payment total that the executing firm will receive through the automated banking process.

Note: If the carrying firm perspective is used, cash adjustments made to third party agreements will not be included in the report.

For the Cash Adjustment Report, the following criteria are required:

- Report Type
- Perspective
- Firm
- Month[1]

[1]exclusive to cash adjustment and the payment reports only, as it reflects current and prior month.

Cash Adjustment History Report

The Cash Adjustment History Report displays cash adjustments processed up to three months prior to the current month.

For the Cash Adjustment History Report, the following criteria are required:

- Report Type
- Perspective
- Firm
- Month

See the following topics for more information:

- Accessing Cash Adjustments
- Cash Adjustment Search Criteria
- Cash Adjustment Details
- Cash Adjustments Generated by Tiered Rates
- Cash Adjustment – Executing Perspective
- Add Cash Adjustments
- Delete Cash Adjustments
- Edit Cash Adjustments
- View Accounts
- View Messages & Notes
- View Payments
- Cash Adjustment – Carrying Perspective
- Reject Cash Adjustments
- Accept Cash Adjustments
- View Messages

Payment Report

The Payment report displays the revenue due to and/or from other firms.

Note: If the carrying firm perspective is used, payments to third party agreements are not included in the report.

For the Payment Report, following criteria are required:

- Report Type
- Perspective
- Firm
- Month[1]
- Profit Center

[1]Month – is exclusive to cash adjustment and the payment reports only, as it reflects current and prior month.

Payment History Report

The Payment History report displays revenue for prior periods due to and/or from other firms

Note: If the carrying firm perspective is used, payments to third party agreements are not included in the report.

For the Payment History Report, following criteria are required:

- Perspective
- Firm
- Payment month
- Firm Status
- Profit Center

Account Report

The Account report displays all the respective accounts that have been associated with a particular agreement.

For the Account Report, following criteria are mandatory:

- Report Type
- Perspective
- Firm
- Profit Center

Message Report

The message report displays all the system activities and transactions requiring review or correction.

For the Message report, the following criteria are mandatory:

- Report Type
- Perspective
- Firm

Third Party Report

The Third Party report will allow executing firms to create a paper invoice for these types of transactions, as GPS will not directly debit/credit fees related to these types of agreements.

Only the Executing Firm perspective is available for Third Party reports.

For the Third Party report, the following criteria are required:

- Report Type
- Perspective
- Firm

Third Party Trade Report

The Third Party Trade report provides details regarding each trade made under an agreement that is billed via a third party. Payments are calculated, but not paid, through GPS.

For the Third Party Trade report, the following criteria are required:

- Perspective
- Firm
- Date
- Payment Month
- Profit Center

Third Party Detail Report

The Third Party Detail report provides agreement reference numbers and the contact name, phone and address for the counterparty to each agreement.

For the Third Party Detail report, the following criteria are required:

- Perspective
- Firm

Agreement Report

The Agreement Report provides agreement details, summarized by opposite firm, including:

- Agreement Date
- Expire Date
- Customer Name
- Customer Reference number
- Executing Firm
- Executing Account
- Executing Contact
- Executing Phone
- Profit Center
- Inter-FCM Agreement Indicator
- Bill Carry Firm Indicator

For the Agreement Report, you must select the following criteria:

- Perspective
- Firm
- Profit Center

Banking Report

The Banking Report displays the preliminary or final pay/collect figures for the firm.

The Banking Report is available from the Executing Firm perspective only.

For the Banking Report, the following criteria are required:

- Report Type
- Perspective
- Firm
- Payment Month

Tier Volume Report

The Tier Volume Report displays original and carryover volume for all tiered agreements for the executing firm for the current processing month and prior two months.

Original volume is the number of contracts processed during the current month.

Carryover volume is the number of contracts processed for a previous month due to a re-acceptance of a previous rejection.

The Tier Volume report is available from the Executing Firm perspective only.

For the Tier Volume report, the following criteria are required:

- Report Type
- Perspective
- Firm

Tier Rate Report

The Tier Rate Report displays the rates/rate attributes and volume breakdown of tier levels for each tiered agreement for the executing firm.

The Tier Rate report is available from the Executing Firm perspective only.

For the Tier Rate Report, the following criteria are required:

- Report Type
- Perspective
- Firm

Tier Rate Volume Report

The Tier Rate Volume report shows the tier-level volume breakdown with the associated rates, the contract volume amount at each tier level and the amount of discount or system-generated cash adjustment applied for having volume that exceeds the first tier level for the executing firm for the current processing month.

Note: The Tier Rate Volume report is available from the Executing Firm perspective only.

For the Tier Rate Volume Report, the following criteria are required:

- Report Type
- Perspective
- Firm

Report Search Criteria

The search criteria below are available for Trade Detail Report searches.

Basic Search Criteria – Description

Report Type - Type of report.

Perspective - **Executing Firm** or **Carrying Firm**.

Exchange Firm - All of the firms for CME Group, CBOT and OCC that you have authority to view. Input the 3-digit firm id into the text box or make a selection in the drop-down.

Trade Date - The date the transaction took place.

- **Equals** - Specifies one trading day.
- **Month to Date** - Automatically sets the beginning date to the first day of the current month and the end date to the current day.
- **Between** - Specify the beginning and end dates for a date range.
- **Note** - Only 2 months of data can be viewed at a time.
- **Last Month**- Automatically sets the beginning and end dates to the first and last days of the previous month.
- **Two Months Ago** - Automatically sets the beginning and end dates to 2 months prior to the current month.
- **Three Months Ago** - Automatically sets the beginning and end dates to 3 months prior to the current month.

Profit Center - Predefined account code for the profit center.

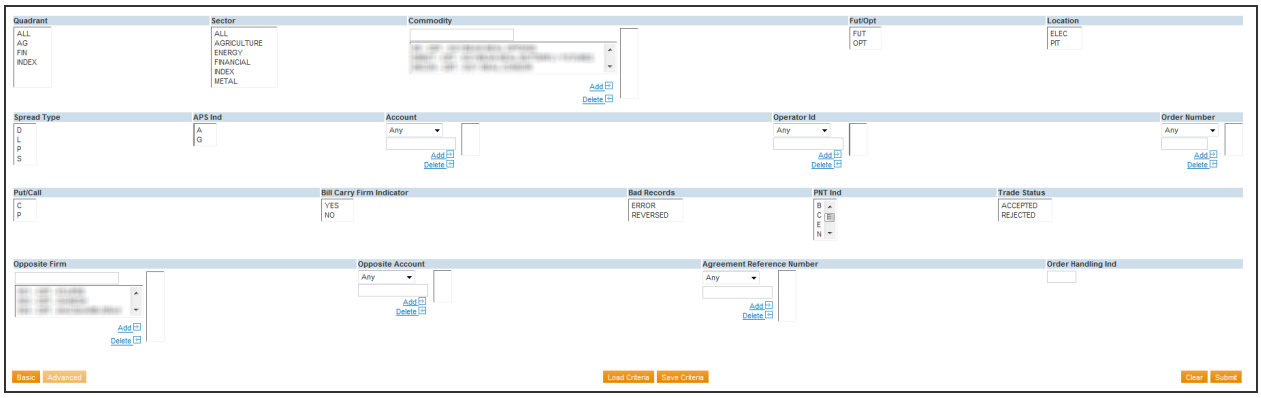
Process Date - The date last processed.

Payment Month- The month the trade was paid.

Firm Status - If selected, test firms are included in the resulting report. (Applies to Payment History and Account Reports only).

Advanced Search Criteria – Description

The Advanced Search contains the following additional fields:



Quadrant A group of related contracts traded on a given Exchange. If selected, all contracts in that group will be displayed. Quadrant selections, by Exchange, are described below:

CME Quadrants	CBOT Quadrants	NYMEX/COMEX Quadrants
CMEAM: Auction Markets	AG: Agricultural	AG: Agricultural
AGS: Agricultural	FIN: Financial	COMMDTY: Commodity
INDX: Index	INDEX: Index	ENERGY: Energy
INT: Interest Rate		FIN: Financial
CURR: Currency		INDEX: Index
		METAL: Metal
		GREEN: Green

Commodity Exchange code (2 or more bytes) used for Clearing. The commodity list will contain the commodity codes from CME, One-Chicago, and the CBOT. You may select a specific or multiple commodities (the commodity list includes the commodity code, the exchange, and the commodity name).

Fut/Opt - Futures (FUT) and/or Options (OPT).

Loc (Location) - Location: Open Outcry (PIT) and/or Electronically (ELEC).

Spread Type - Spread type.

- **D** = Differential Spreads
- **L** = Legged Spreads
- **S** or **6** = Spread
- **P** = PIT Trade

APS Ind - Average Price System (APS) Indicator.

- **A** = Average Price System trade
- **G** or **blank** = Give-Up trade

Account - Account number of the executing firm or carrying firm, depending on the perspective.

Order Number - Order number. Also known as the executing firm's card (order number).

Put/Call - Put and/or Call.

Bill Carry Firm Indicator

- Y = trade associated with agreement that is billable through GPS.
- N = trade associated with a third party agreement.

Bad Records - Indicates Error or Reversed records. Error records are records that are in an error state due to a lack of either rate set or an account definition within the system. Reversal records are records submitted through GPS that reverse give-ups that were allocated or claimed in error.

PNT Indicator (Ind) - EFP (Exchange for Physical) transaction type:

- **B** = Block Trade
- **E** = EFP Trade (Exchange for Physical)
- **N** = EFR Trade (Exchange for Risk)
- **T** = EFS Trade (Exchange for Swap)
- **O** = OPNT (Old Privately Negotiated Trade)
- **C** = RFC (Request for Cross)

Trade Status Status. **Accepted** or **Rejected**.

Account Status Status of account. **Accepted** or **Rejected**.

Opposite Firm - The 3-digit FirmId of the executing firm or carrying firm. The perspective option drives whether this is the executing firm or the carrying firm. For example, if the perspective is Executing Firm, the opposite firm will represent the carrying firm.

Opposite Account - The perspective option drives whether this is the executing firm or the carrying firm. For example, if the perspective is Executing Firm, the opposite account will be a carrying firm account.